



Establishment Committee

Date: MONDAY, 3 DECEMBER 2018

Time: 1.45 pm

Venue: COMMITTEE ROOMS - COMMITTEE ROOMSWEST WING, GUILDHALL

Members:

Deputy Edward Lord (Chairman)	Sylvia Moys
Deputy the Revd Stephen Haines (Deputy Chairman)	Deputy Joyce Nash
Randall Anderson	Barbara Newman
Sir Mark Boleat	Deputy Richard Regan
Deputy Keith Bottomley	Deputy Elizabeth Rogula
Deputy Kevin Everett	Alderman William Russell
Sophie Anne Fernandes	Ruby Sayed
Deputy Jamie Ingham Clark	Deputy Philip Woodhouse
Jeremy Mayhew	

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Lunch will be served in Guildhall Club at 1PM
NB: Part of this meeting could be the subject of audio or video recording

John Barradell
Town Clerk and Chief Executive

AGENDA

Part 1 - Public Agenda

1. **APOLOGIES**
2. **MEMBERS' DECLARATIONS UNDER THE CODE OF CONDUCT IN RESPECT OF ITEMS ON THE AGENDA**
3. **MINUTES**
To agree the public minutes and summary of the meeting held on 29 October 2018.

For Decision
(Pages 1 - 8)
4. **OUTSTANDING ACTIONS REPORT**
Report of the Town Clerk.

For Information
(Pages 9 - 10)

Strategic Business

5. **GENDER IDENTITY PRESENTATION OF RESULTS AND DRAFT POLICY DISCUSSION**
The Director of Community and Children's Services to be heard.

For Discussion
6. **EU SETTLEMENT SCHEME**
Report of the Director of Human Resources.

For Discussion
(Pages 11 - 16)

Police Authority Business

7. **REVIEW OF THE CITY OF LONDON POLICE AUTHORITY - RESOURCING & GOVERNANCE ARRANGEMENTS**
Report of the Town Clerk.

For Decision
(Pages 17 - 28)
8. **REPORT OF ACTION TAKEN**
Report of the Town Clerk.

For Information
(Pages 29 - 30)

For Formal Decision

9. **REVENUE BUDGETS 2019/20**
Report of the Town Clerk, Chamberlain and Comptroller and City Solicitor.
- For Decision**
(Pages 31 - 46)
10. **CORPORATE HEALTH SAFETY AND WELLBEING POLICY**
Report of the Director of Human Resources.
- For Decision**
(Pages 47 - 72)
11. **CORPORATE LONE WORKING / PREVENTING VIOLENCE POLICY**
Report of the Director of Human Resources.
- For Decision**
(Pages 73 - 92)

For Information

12. **FLU VACCINATIONS**
Report of the Director of Human Resources.
- For Information**
(Pages 93 - 98)
13. **DEVELOPMENTAL TOOLKIT AND COMPETENCY FRAMEWORK UPDATE**
Report of the Director of Human Resources.
- For Information**
(Pages 99 - 112)
14. **SENIOR REMUNERATION COMMITTEE MINUTES**
Minutes of the meeting held on 8 November 2018.
- For Information**
(Pages 113 - 116)
15. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**
16. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT**
17. **EXCLUSION OF THE PUBLIC**
MOTION - That under Section 100A(4) of the Local Government Act 1972, the public be excluded from the meeting for the following items of business on the grounds that they involve the likely disclosure of exempt information as defined in Part I of Schedule 12A of the Local Government Act.

For Decision

Part 2 - Non-Public Agenda

18. **NON-PUBLIC MINUTES**

To agree the non-public minutes of the meeting held on 29 October 2018.

For Decision
(Pages 117 - 120)

19. **OUTSTANDING ACTIONS REPORT**

Report of the Town Clerk.

For Information
(Pages 121 - 122)

20. **NON-PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**

21. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT AND WHICH THE COMMITTEE AGREES SHOULD BE CONSIDERED WHILST THE PUBLIC ARE EXCLUDED**

Part 3 - Confidential Agenda

22. **CONFIDENTIAL MINUTES**

To agree the Confidential minutes of the last meeting held on 29 October 2018.

For Decision

For Formal Decision

23. **MARKET FORCES SUPPLEMENT REQUEST**

Report of the City Surveyor.

For Decision

24. **MARKET FORCES SUPPLEMENT REQUEST**

Report of the City Surveyor.

For Decision

25. **MARKET FORCES SUPPLEMENT REQUEST**

Report of the City Surveyor.

For Decision

26. **EMPLOYMENT MATTERS**

Report of the Chamberlain.

For Decision

27. **CHANGE PROGRAMME**

Report of the Director of Operations & Buildings, Barbican/Guildhall School of Music & Drama.

For Decision

28. **CONFIDENTIAL STAFFING ITEM - TO FOLLOW**
Report of the Town Clerk.

For Information

For Decision

29. **SENIOR REMUNERATION COMMITTEE MINUTES**
Minutes of the meeting held on 8 November 2018.

30. **TOWN CLERK'S UPDATE**
Town Clerk to be heard.

For Information

For Information

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ESTABLISHMENT COMMITTEE Monday, 29 October 2018

Minutes of the meeting of the Establishment Committee held at Guildhall on Monday,
29 October 2018 at 2.00 pm

Present

Members:

Deputy Edward Lord (Chairman)
Deputy the Revd Stephen Haines (Deputy Chairman)
Randall Anderson
Sir Mark Boleat
Deputy Keith Bottomley
Deputy Jamie Ingham Clark
Jeremy Mayhew
Sylvia Moys
Alderman William Russell
Ruby Sayed
Deputy Philip Woodhouse

Officers:

John Barradell	- Town Clerk and Chief Executive
Lorraine Brook	- Town Clerk's Department
Kristina Drake	- Town Clerk's Department
Matt Lock	- Chamberlain's Department
Natalie Evans	- Chamberlain's Department
Sean Green	- Chamberlain's Department
Michael Cogher	- Comptroller and City Solicitor
Chrissie Morgan	- Director of Human Resources
Marion Afoakwa	- Human Resources Department
Janet Fortune	- Human Resources Department
Tracey Jansen	- Human Resources Department
Caroline Reeve	- Human Resources Department
Carol Simpson	- Human Resources Department
Andrew Carter	- Director of Community and Children's Services
Laura Somerville	- City Surveyor's Department
Steve Eddy	- Barbican Centre & Guildhall School
Donna Dix	- Barbican Centre & Guildhall School
Sian Britton	- Guildhall School of Music and Drama

Order of business

With the Chairman's consent, the order of business was amended as follows.

1. **APOLOGIES**

Apologies for absence were received from Deputy Kevin Everett, Sophie Fernandes, Deputy Joyce Nash and Deputy Elizabeth Rogula.

In noting that Deputy Nash was currently unwell, the Chairman extended the Committee's best wishes to her for a speedy recovery.

2. **MEMBERS' DECLARATIONS UNDER THE CODE OF CONDUCT IN RESPECT OF ITEMS ON THE AGENDA**

There were none.

3. **MINUTES**

RESOLVED – That the public minutes and summary of the meeting held on 20 September 2018 be approved as an accurate record.

4. **OUTSTANDING ACTIONS REPORT**

The Committee considered a report of the Town Clerk which provided details of outstanding actions from previous meetings.

Revenue Budgets

The Town Clerk advised that officers from the Town Clerk's Department and Chamberlain's Department had been asked to look into putting together a report on Members' spending from the Town Clerk's budget.

However, it was explained that Members' spending was funded from different departmental budgets, and to reconcile the costs would be a substantial piece of work. The Town Clerk advised of the main spending from the Town Clerk's budget, but the Chair had agreed a report was no longer necessary and if Members were interested in specific costs, this could be looked into by officers.

Whilst acknowledging that Member-related spend could not be broken down on a departmental basis, the Committee requested that some form of breakdown within the Town Clerk's budget be provided to Members as part of the annual budget process.

Guildhall Workplace Utilisation Programme

The City Surveyor referred to the various workstreams that were underway, including strategic planning and tactical activities, and outlined the timetable for the project which would include a report being submitted to the Committee in December.

RESOLVED – That the Committee note the report and verbal updates.

5. **GENDER IDENTITY PROGRESS UPDATE**

The Committee received a report of the Director of Human Resources and the Director of Children's and Community Services which summarised key initial findings from the City Corporation's survey on gender identity and updated Members on progress in commissioning independent analysis. It was noted that a detailed report and initial policy proposals would be submitted to the Committee in December for consideration.

Members discussed the survey completion rate and requested clarification in the next report about the level of "skipped" responses, the volume of start but

not finish respondents and a breakdown in terms of representation i.e. the number of respondents living/working in the City or using the City Corporation's services. The Director of Community and Children's Services stressed the importance of hearing a broad range of voices and for the organisation to know who they are. It was noted that tenders for the commissioning of a specialist provider had now been received and work to progress policy development would be met from the Community and Children's Services Departmental budget.

RESOLVED – That the Committee note the report.

6. **CITY CORPORATION MODERN SLAVERY STATEMENT**

The Committee received a report of the Chamberlain which set out the City Corporation's Modern Slavery Statement developed in response to the Modern Slavery Act 2015.

It was noted that, given the remit of the Establishment Committee, the report was for approval rather than for information, ahead of submission to the Policy & Resources Committee, the Police Committee and the Court of Common Council. All other named committees within the report would receive it for information.

In noting that the Bill was currently progressing through the House of Lords and an extension to the scope of the existing Act to public sector authorities was anticipated, publication of the Statement could therefore be viewed as a way of future proofing the City Corporation's approach. However, some Members commented that given that the statement was ethically just, rather than simply a future proofing exercise, this important aspect should be referenced in the report ahead of submission to other committees.

In terms of wider environmental, ethical and social issues, it was acknowledged that there was a broad range of issues that warranted consideration within a corporate context, as highlighted by the City Corporation's innovative social investment agenda.

RESOLVED – That the Committee:

- a) endorse publication of a voluntary Modern Slavery Statement by the City Corporation; and
- b) endorse the version submitted, including the Modern Slavery Policy contained within and continuous improvement plans detailed throughout, subject to the inclusion of the ethical importance of publication of such a Statement.

7. **DECLARATION OF INTERESTS AND REGISTER OF INTERESTS: SENIOR MANAGERS AT GRADES I AND J**

The Committee considered a report of the Director of Human Resources which sought approval of a revised Declaration of Interests and separate Register of Interests process for Chief Officers and Senior Managers at Grades I and J.

There was broad support for the introduction of new requirements for Chief Officers and Senior Managers at Grades I and J, although some Members commented that clarification was required in respect of a number of new areas which would require declaration including securities, voluntary commitments and outside interests. It was also suggested that reference to Trade Association membership was inaccurate as individuals could not belong to trade associations. Whilst it was noted that this wording reflected that within the Members' Code of conduct, the Director of HR and the Comptroller and City Solicitor undertook to review the wording and ensure that this was revised as necessary whilst seeking to keep the officer requirements as close to the Member requirements. In respect of securities, the guidance would be clear about nominal values and relationships with individual/multiple companies.

A Member referred to the completion rate by officers and Members in respect of the Related Party Transaction forms and queried how the new declaration process would be managed and declarations appropriately updated. It was noted that completion of the declarations was a condition of employment and all officers at Grades I and J would be required to make a declaration annually, even if there was a nil declaration.

RESOLVED – That the Committee:

- a) approve the revised Declaration of Interests and a separate Register of Interests process for Chief Officers and Senior Managers at Grades I & J; subject to clarification and revision within the policy and the guidance on securities, trade union and trade association membership, outside/voluntary interests; and
- b) note the revised breakdown of disclosure requirements illustrated in the Declaration and Register of Interests Summary Table; and the Declaration and Register of Interests Managers' Guidance, both appended to the report before Members and subject to minor revision by the Director of HR and the Comptroller and City Solicitor (as above).

8. **EQUALITY AND INCLUSION UPDATE**

The Committee received a report of the Director of Human Resources which updated Members on equalities and inclusion activities since July 2018.

In response to a query regarding the status of the service delivery activities and whether the Plan accurately reflected the current position, the Director of HR advised that whilst the Plan set out the HR elements, the Department for Community and Children's Services' (DCCS) related elements had been delayed due to the pending commencement of a new Equalities Manager within DCCS.

With reference to the proposed Equality and inclusion staff conference, the Director of HR confirmed that Members would be invited to attend. The Chair then commended Sylvia Moys for her attendance at City Corporation learning and development events.

RESOLVED – That the Committee note the report.

9. **OPERATION OF THE SCHEME OF DELEGATIONS APRIL 2018 - SEPTEMBER 2018**

The Committee received a report of the Director of Human Resources which provided information on redundancies, early retirements, ill health retirements and Markets Forces Supplements approved in the reporting period 1 April 2018 to 30 September 2018.

RESOLVED – That the Committee note the actions taken under delegated authority.

10. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**

Questions were raised as follows –

(i) Free influenza inoculations

A question was raised regarding whether the City Corporation should offer free influenza inoculations for all officers and Members as soon as practicably possible to reduce sickness absence levels and maximise officer/Member wellbeing. A number of Members were supportive of the suggestion, although it was noted that muscular-skeletal symptoms were the primary cause of sickness absence. The Director of Human Resources went on to explain that the Open Spaces Department was currently piloting a free inoculation scheme for officers and a review of that exercise, including the procurement implications and corporate costs/benefits, could be used to inform a future report to the Committee in December.

RESOLVED – That a report setting out the implications of the introduction of a free influenza inoculation scheme for officers and Members be submitted to the Committee's next meeting in December.

(ii) Corporate Job Evaluation

A query was raised regarding the grading of positions across the organisation and whether there was a consistent approach in terms of job evaluation on a cross-departmental basis. The Director of Human Resources confirmed that all City Corporation posts were subject to a corporately managed job evaluation exercise which ensured that jobs were consistently graded on the basis of post-holder responsibilities and duties. In the event that Market Force Supplements were paid in respect of like-for-like posts, these had to be justified on a case-by-case basis. On the basis that specific posts would be referenced, it was agreed that the discussion would continue in the non-public session of the meeting on the grounds that the information was likely to reveal the identity of an individual (Paragraph 2, Part 1 of Schedule 12A of the Local Government Act 1972).

RESOLVED – That the discussion be noted and the matter deferred for further discussion at Item 15 of the agenda.

11. **ANY OTHER BUSINESS THAT THE CHAIR CONSIDERS URGENT**

The following items of urgent business were raised –

(i) Letter- Pensioner’s Lunch

The Chair referred to a letter that had been received from Rob Hedley-Smith, former Deputy Chamberlain of the City Corporation, extending his thanks to the Establishment and Finance Committees for the recently hosted annual Pensioner’s Lunch.

NOTED.

(ii) Annual Staff/Christmas Lunch

The Chair advised Members of a request from the Faith and Belief Network that the title of the Staff Annual Lunch revert back to the Staff Christmas Lunch. It was noted that the Committee had previously agreed that the annual event should be referred to as the Staff Christmas Lunch but for some reason, it continued to be branded as the Staff Annual Lunch. With all Members in agreement, it was agreed that the event organiser should be alerted to the request.

RESOLVED – That the organiser of the Staff Christmas Lunch be advised of the Committee’s decision in respect of future branding of the annual event.

(iii) RSVPs – Committee events

The Chair encouraged Members to RSVP to all forthcoming Committee-related events including the Establishment Committee dinner and the Staff Christmas Lunch.

NOTED.

12. EXCLUSION OF THE PUBLIC

RESOLVED – That under Section 100(A) of the Local Government Act 1972, the public be excluded from the meeting for the following items on the grounds that they involve the likely disclosure of exempt information as defined in Part I of the Schedule 12A of the Local Government Act.

Item	Paragraph
13	3,4
17,24	1,2,3
18	5
19,21,25	1,2
20,22	1
23	1,2,3,5

13. NON-PUBLIC MINUTES

The non-public minutes of the meeting held on 20 September 2018 were approved.

14. OUTSTANDING ACTIONS REPORT

There were no outstanding actions.

15. **NON-PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE COMMITTEE**

[All officers, excluding the Town Clerk and the Director of Human Resources, withdrew from the meeting].

A question was raised in respect of corporate job evaluation practices.

16. **PUBLIC INTEREST DISCLOSURE ACT 1998 - MEMBERS' ROLE**

The Committee received a report of the Director of Human Resources.

17. **ANY OTHER BUSINESS THAT THE CHAIR CONSIDERS URGENT AND WHICH THE COMMITTEE AGREES SHOULD BE CONSIDERED WHILST THE PUBLIC ARE EXCLUDED**

There were no items of urgent business.

18. **HONORARIA REQUEST**

The Committee considered a report of the Town Clerk.

19. **CONFIDENTIAL MINUTES**

The confidential minutes of the meeting held on 20 September 2018 were approved.

20. **HONORARIA REQUEST**

The Committee considered a report of the Chamberlain.

21. **MARKET FORCES SUPPLEMENT REQUEST**

The Committee considered a report of the Principal of the Guildhall School of Music and Drama.

22. **TOWN CLERK'S UPDATE**

The Town Clerk provided an oral update.

23. **STAFF APPEAL SUMMARY**

The Committee received a report of the Comptroller and City Solicitor and Director of Human Resources.

24. **EMPLOYMENT TRIBUNAL CASES**

The Committee received a report of the Comptroller and City Solicitor.

25. **REPORT OF ACTION TAKEN**

The Committee received a report of the Town Clerk.

26. **APPENDIX TO THE SCHEME OF DELEGATIONS**

The Committee received the confidential appendix to Item 9.

The meeting ended at 3.55pm

Chairman

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Establishment Committee – Outstanding Actions

Item	Date	Action	Officer responsible	To be completed/ progressed to next stage	Progress Update
1.	9 July 2018	<u>Guildhall Workplace Utilisation Programme</u> _A timetable for the Project to be provided to the Committee in October 2018	Director of Human Resources/City Surveyor	December 2018	The City Surveyor's Department are working with Corporate Strategy and Performance on a Space Utilisation / Agile Working report and the current timelines show that it is likely the report will be brought before the December meeting of the Committee.
2.	9 July 2018	<u>Gender Identity Policy</u> A draft policy to be provided to the Committee following the public consultation	Director of Human Resources; Town Clerk; Director of Community and Children's Services	October 2018 December 2018	The draft policy to be provided in October 2018. Key initial findings were provided to the Committee at the October meeting, and Members were informed that a detailed report and initial policy proposals would be submitted to the Committee in December for consideration.

Item	Date	Action	Officer responsible	To be completed/ progressed to next stage	Progress Update
3.	29 October 2018	<p><u>Influenza Inoculations</u> A question was raised regarding whether the City Corporation should offer free influenza inoculations for all officers and Members as soon as practicably possible to reduce sickness absence levels and maximise officer/Member wellbeing.</p> <p>The Director of Human Resources explained that the Open Spaces Department was currently piloting a free inoculation scheme for officers and a review of that exercise could be used to inform a future report to the Committee in December.</p>	Director of Human Resources	December 2018	A report to be provided to the Committee in December 2018.

Agenda Item 6

Committee(s): Establishment Committee	Date(s): 3 December 2018
Subject: EU Settlement Scheme	Public
Report of: Chrissie, Morgan, Director of HR	For Discussion
Report author: Chrissie Morgan, Director of HR	

Summary

The EU Settlement Scheme, which was laid before Parliament on 20th July 2018, outlines the process that must be followed to allow EU Citizens to continue to live and work in the UK in the future, post Brexit. Whilst the EU settlement scheme is not law, it has been widely communicated through various Government communication channels and we believe it is unlikely that the scheme, in relation to EU Citizens' ability to remain within the UK, will change if no deal is reached.

The City of London Corporation employs EU Citizens and we need to put plans in place to communicate and engage with these staff to offer support and guidance through the application process.

Recommendation(s)

Members are asked to:

- Note the report
- Provide views on the proposed support for City of London employees who are EU Citizens

Main Report

Background

1. The government have announced an EU Settlement Scheme for all EU Citizens who are living in the UK up until 31st December 2020. The EU Settlement Scheme, which was laid before Parliament on 20th July 2018,

outlines the process that must be followed to allow EU Citizens to live and work in the UK in the future, post Brexit. The Scheme has been widely communicated by the Government and as such it is expected that a no deal Brexit will not impact upon the scheme as it relates to EU Citizens' ability to remain within the UK.

2. The Scheme is currently being piloted and will run until 21st December 2018 for certain groups, including those working in the higher education, health or social care sectors. The Scheme will open fully to other EU Citizens by the end of March 2019. The deadline to apply is 30th June 2021 and proof of status will be through an online service unless the applicant is from outside the EU and they do not already have a biometric residence card. To qualify the applicant must be living in the UK no later than 31st December 2020.
3. EU Citizens and their families will be able to apply for either settled or pre-settled status allowing them to continue living in the UK after 31st December 2020. Rights for Citizens of Norway, Iceland, Liechtenstein and Switzerland are still being negotiated.
4. The following EU Citizens will not need to apply:
 - Irish Citizens
 - those who have indefinite leave to remain in the UK
 - those who have indefinite leave to enter the UK – e.g. a Returning Resident visa. However, their family members from outside the UK and Ireland will need to apply to remain living in the UK.

Settled and Pre-Settled Status

5. Settled status allows an EU national to stay in the UK for indefinitely as well as apply for British Citizenship if they meet the requirements. To be eligible the applicant would usually need to:
 - be an EU citizen, or a family member of an EU citizen
 - have been living in the UK continuously for 5 years ('continuous residence')
 - have started living in the UK by 31st December 2020.
6. If an EU citizen has lived in the UK for less than 5 years, they will generally be eligible for 'pre-settled status' instead of settled status. Pre-settled status allows an EU citizen to stay in the UK for a further 5 years from the date they receive pre-settled status. They can apply for settled status as soon as they've lived in the UK for 5 years continuously ('continuous residence')

7. Continuous residence means an applicant has been in the UK for at least 6 months in each of the last 5 years, except for either one period of up to 12 months for an important reason (e.g. childbirth, serious illness, study, an overseas work posting) or compulsory military service of any length
8. EU Citizens will need to apply for settled or pre-settled status even if they are married to a British citizen.

Rights with settled or pre-settled status

9. Settled or pre-settled status will mean an EU national can:
 - work in the UK
 - use the NHS
 - enrol in education or continue studying
 - access public funds such as benefits and pensions, if eligible
 - bring family members to the UK after 31 December 2020
 - travel in and out of the UK (subject to time limits agreed by Parliament)

Fees

10. The fee to apply will be:
 - £65 for applicants aged 16+
 - £32.50 for applicants under 16

There is no fee when applying to move from pre-settled to settled status.

Non-EU Citizens

11. Non-EU Citizens can also apply for settled or pre-settled status if they are in a relationship with an EU citizen as their spouse/civil partner or unmarried partner. There are some circumstances where non-EU Citizens can apply where they are related to EU Citizens. In addition, permanent residence cards will not be valid after 31st December 2020 and this can be changed for settled status through application to the Scheme at no cost.

Government Guidance

12. The government has issued guidance including a toolkit for employers which is under development. The toolkit will provide guidance on communicating information to employees and a suggested plan of when and how might be most appropriate.
13. Key points in the Government's guidance:

- Current 'right to work' checks (e.g. EU passport and/or national ID card) apply until the end of 2020. There will be no change to the rights and status of EU Citizens living in the UK until 2021. There is no guidance yet as to what happens from that point.
- Employers are not expected to pay/support the cost of the EU Settlement Scheme application for EU citizen employees but are welcome to do so at their discretion.
- There is no legal obligation for employers to communicate the EU Settlement Scheme, however they may wish to signpost the information that the Government is providing.
- Employers do not have to interpret information provided by the Government and must be careful not to provide immigration advice.

Key Proposals

14. We are aware of 163 EU Citizens employed in the organisation. However, currently we do not have easily accessible central records which show exactly how many employees are EU Citizens and this figure could be higher. We will look at the easiest and most constructive way of establishing the status of all employees. The scheme appears to be fairly straightforward and the criteria for pre-settlement and settlement status not onerous (unless an individual has a serious criminal background) so the risk in employees not gaining settlement appears to be low.
15. As current 'right to work checks' will continue until 31st December 2020, now is a good time to look at introducing a way of recording centrally the documentation used for each new employee which confirms their 'right to work'. One issue with this is that departments sometimes check this documentation themselves rather than the HR Recruitment service. We are looking at a way of recording on City People the type of document that was used to confirm 'right to work' for each employee going forward. In the future we will need to keep EU settlement status confirmations as well.
16. Given the scheme will not be open for general applicants until the end of March 2019 we propose a communication in December with a plan and actions for the first quarter of 2019.
17. We propose to give additional support to staff who may need help with online applications or where there might be language barriers.
18. We propose that we pay the settlement status application fee of £65 for employees (and consider whether this should be extended to their immediate families).

19. There is no guidance on what the requirements for EU Citizens will be post 31st December 2020 so long-term planning would need to be considered once we know more. This is expected to be known by the end of January 2019.
20. Other staff engagement initiatives will be considered such as the potential creation of a new staff network group for EU Citizens where speakers can attend to talk on relevant subjects and staff can support each other.
21. We will signpost EU Citizens requiring specific advice around their status to the City Corporation's Barbican and Shoe Lane Libraries who have recently been approved as a VISA processing office (walk in centre), providing help and support to EU Citizens in applications for settlement status.

Financial Implications

22. The cost for an individual EU settlement application is £65.00 16 plus and £32.50 for applicants under 16. Based on 163 known EU Citizens working for us that would be £10,595. If we paid for family members an average of 4 per unit equates to £42,380. Clearly this figure will increase if the number of EU Citizens identified increases.

Conclusion

23. The Government have announced an EU Settlement Scheme for all EU Citizens who are living in the UK up until 31st December 2020 which is expected to open at the end of March 2019. There is a need to identify all EU Citizens within the organisation and engage with them to ensure they are aware of the Scheme and how it affects them and that they are supported in their applications to enable them to remain within the UK after 2020.

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Director of HR

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Agenda Item 7

Committee(s): Police Committee – <i>for information</i> Finance Committee – <i>for information</i> Policy & Resources Committee – <i>for decision</i> Establishment Committee – <i>for decision</i> Court of Common Council – <i>for decision</i>	Date: 1 November 2018 13 November 2018 15 November 2018 3 December 2018 6 December 2018
Subject: Review of the City of London Police Authority – Resourcing & Governance Arrangements	Public
Report of: Town Clerk & Chief Executive	For Decision
Report author: Caroline Al-Beyerty, Deputy Chamberlain, and Alex Orme, Policy Manager (Police Authority)	

Summary

The report outlines proposals to enhance the Police Authority function within the City of London Corporation (City Corporation) in line with its responsibilities as the Police Authority for the City of London Police Force (City Police). The current Police Authority structure is based on a historic resourcing model and does not mirror the evolving staffing structures in the Police and Crime Commissioner Offices (OPCC) and although outside the PCC arrangements, the City Corporation has undertaken to mirror other Local Policing Bodies governance arrangements in its oversight of the City Police.

Staffing arrangements in PCC offices have been researched (Appendix 1) and it is now recommended that there is a need for the Police Authority to adjust the current staffing model. Many of the PCC Offices now have professional support built into their core team whereas the Corporation's Police Authority continues to have a small core team that has access to the Corporations' professional services who, while providing these functions, tend to do so on an ad hoc basis. There is therefore a need to formalise these support arrangements, it is suggested through developing service level agreements.

There is a specific need to enhance the Police Authority finance function provided by the Chamberlain's Department to resource the Authority's strategic finance responsibilities, including development of the Medium-Term Financial Plan and to strengthen the oversight and scrutiny of the Force's financial performance. It is also proposed that the Corporation increase the number of staff within the Police Authority core team to meet the new appeals process and current Independent Custody Visitor (ICV) requirements.

The report, therefore, seeks approval of funding for three FTE posts at a total cost of up to £250,000. These additional posts, coupled with the development of service level agreements, will allow the Police Authority to strengthen its governance arrangements in areas identified for enhancement including strategic leadership, community engagement and performance management.

Finally, further work needs to be undertaken to establish the full cost of providing the Police Authority function for comparative benchmarking and Value for Money purposes.

Recommendation(s)

Members are asked to:

For Policy & Resources and Establishment Committee:

- Approve the creation of two FTE finance posts, including a Grade I post, at a cost of up to 195,000 and one FTE Town Clerk's post at a cost of up to £55,000 to strengthen the capacity and capability of the Police Authority;

For Court of Common Council:

- Approve a base budget uplift to the Police Authority within City Fund of up to £250,000 with effect from 2019/20 to be considered as part of the annual budget setting and medium-term financial planning process; and the creation of a Grade I post in the Chamberlain's Department.

For all Committees:

- Note the intention to introduce service level agreements between the Police Authority and the Corporation's professional support services; and
- Note the improvement to the governance arrangements that will enhance the Police Authority's oversight and scrutiny function including greater strategic leadership and community engagement and better performance management arrangements.
- Note the intention to establish the full cost of the Police Authority function for benchmarking and Value for Money purposes.
- Note, if approved, posts will be recruited to and will be a cost pressure on the Chamberlain's and Town Clerk's 2018/19 budgets. If required, a funding request may be made to Finance Committee for contingency funding late in the financial year.

Introduction

1. The City of London Corporation's Police Authority plays a vital role in the governance of policing within the Square Mile, overseeing spending of £132 million in 2018/19. The Police Authority is expected to ensure that City of London Police delivers efficient and effective policing for the public. The 1996 Police Act, legislation set out the roles and responsibilities of Police Authorities. The City of London acts as one of the 'checks and balances' in a two-part system of shared responsibilities with the City of London's Police Commissioner.
2. The proposals in this report seek to minimise duplication of expenditure on City Police functions, whilst achieving consistency with the statutory obligations imposed on both the City Corporation and City Police to discharge separate responsibilities in their respective capacities as Police Authority and police force.

Indeed, there are significant opportunities for greater collaboration between the respective finance teams of the City Corporation and the City Police whilst achieving consistency with the need to respect and ensure the operational autonomy of the Commissioner. These proposals are, therefore, likely to be complemented in due course by a reorganisation of the City Police finance team in light of reviews commissioned by the City Police Commissioner.

3. The City Corporation is anomalous in retaining a Police Authority in the form of the Court of Common Council, acting through the Police Committee and other relevant Committees to which the Common Council has delegated its general functions of superintendence. This anomaly is sustained by a standing agreement between the City Corporation and the Home Secretary, first negotiated prior to the passage of the Police and Magistrates' Courts Act 1994, that the Common Council would undertake to mirror national governance arrangements in its oversight of the City Police.
4. Further to guidance from Home Office and CIPFA, the role of the City Corporation's police authority finance team is primarily about the challenge, assurance, scrutiny and strategic overview of City Police budgets. Within this framework, the team would focus, on behalf of the police authority, on scrutinising financial information, budget planning and accounting processes, intervening and supporting colleagues in the City Police where appropriate to ensure compliance with City Corporation best practice, as well as the expectations of our external auditors.
5. The legislation envisages that the Police Authority and Police Force would have two separate Chief Finance Officers (CFOs). In order to achieve efficiencies, some PCCs and Forces have decided to appoint the same individual to carry out both roles, albeit with processes in place to avoid conflicts of interest for postholders; it is important to note that, further to the guidance, such arrangements can only be put in place with the consent of the Chief Constable (i.e. the Commissioner).
6. While it is important to note that the enhanced police authority finance function is not responsible for the day-to-day management of Police budgets, which lies within the purview of the Commissioner, it will be necessary for the respective finance teams to work very closely together, underpinned by a culture of mutual collaboration and mutual openness. Nowhere will this be more important than in setting the medium-term financial plan for the City Police, for which the police authority is responsible.
7. Finally, it is important to note the other Committees that have a role in the governance of the Police Authority on behalf of the Court of Common Council. These are the Establishment Committee which is responsible for personnel (staffing) and establishment matters for civilian staff and the Finance Committee which ensures that the City of London Corporation achieves value for money in all its activities and provides careful stewardship of the City Corporation's funds and the Audit & Risk Committee.

Main Report

Resourcing the Police Authority – current capacity and capability

8. The Police Authority's roles and responsibilities changed significantly with the introduction of Police and Crime Commissioners in October 2012 (Police Reform and Social Responsibility Act 2011). At that time, the Corporation increased the staffing complement slightly to reflect the new legislation but did not undertake a comprehensive capacity and capability review to take into account:
 - a) the significant changes in role and responsibilities; and
 - b) the Corporation's need to mirror the arrangements in other Policing areas as a result of an undertaking given first given prior to the passage of the Police and Magistrates' Act 1994.
9. The resourcing (staffing) levels remain significantly lower than those in the newly created Offices of Police and Crime Commissioners (the OPCCs) across the country. An analysis of staff numbers (see Appendix 1) shows a significant difference in the number of core staff employed. Our Police Authority FTE posts are 2.15 FTE (consisting of the Policy Manager (Police Authority), Policy Officer and 0.15 FTE for an ICV Scheme Manager (Compliance)) compared to an average of 14.4 FTE posts (for the nine smallest of the 43 OPCC's). The average OPCC budget is £1.12 million compared to £200k for the Police Authority core team.
10. The increase in size in the PCC offices is largely due to a growth in their communications and engagement, commissioning and administrative support functions. Our Police Authority does have access to the City of London Corporation's professional support services to provide many of these functions. However, this is on an ad-hoc basis even though the Police Authority should be using a similar amount of professional support as many of the OPCCs. The table in Appendix 2 sets out who within the Corporation provides the standard OPCC functions for the Police Authority.
11. Through our service commissioner role, we have been able to meet some of the shortfall in capacity by using the Corporation's professional support services. However, given the complexity of the City Corporation's obligations it is now proposed to strengthen these arrangements through a combination of dedicated extra staffing and the introduction of service level agreements with our professional support services. This will enhance the oversight and scrutiny of the Force by the Police Authority.
12. Whilst, the research was able to establish the direct costs of the core team it was unable to determine the full cost of running the Police Authority function because it was difficult to identify the cost and time commitment from the service providers across the wider Corporation. Hence, there is no comparative financial analysis provided in this report. Therefore, the Police Authority needs to work with the Chamberlain's to establish the full cost of providing the Police Authority function for comparative benchmarking and VFM purposes.

Core team capacity

13. As the Police Authority is part of the City of London Corporation, it has the benefit of being able to access the Corporation's professional support services (Finance, HR, Communications, legal, etc.). This means that the core team can remain small and use these services instead of having these posts built into the core team (like other OPCCs). However, there is a requirement to enhance capacity within the core team to meet the new complaints reviews arrangements (which is a statutory function transferring to PCCs and Authorities early in 2019), assist the ICV Manager and to help support the growing day-to-day demands of running a Police Authority. The proposed requirement is one FTE post (Grade D), identified in white in the organogram in appendix 3.

Service support – professional advice, guidance and support for the Police Authority and Police Committee

14. The Corporation's professional support services provide advice, guidance and support for the Police Authority and Police Committee, but this tends to be on an ad hoc basis. There is therefore a need to formalise these arrangements through a service level agreement approach that ensures that there is a written agreement between the professional support service and the Police Authority. The agreement will provide service standards, expectations and will state the minimum level of service required to meet the business needs.

Police Authority Finance – Oversight & Scrutiny

15. There is a need to further enhance the Police Authority finance function to enable the Authority to lead more effectively on the Police Medium Term Financial Plan, to strengthen the Police Authority's ability to challenge and scrutinise City Police Budgets, enable greater assurance and provide Member's with a clear strategic overview. Therefore, to increase the capacity of the Police Authority to enhance the financial oversight & scrutiny of the Force, it is proposed that two FTE posts (1x Grade I; 1 x Grade G) in the Chamberlain's Department are required - identified in white in the organogram in appendix 3.

Review of the current governance arrangements

16. Alongside a look at resourcing, the Town Clerk's Department also undertook a review of the Police Authority's current governance arrangements and identified potential areas for improvement (using the HMIC Police Authority Inspection Methodology 2010 – effectiveness measures) and has identified the following areas where improvements could be made:

- Police Committee taking a greater strategic lead in shaping the policing plan;
- The Corporation developing arrangements for capturing community concerns and needs, and using this to inform police priority setting; and
- Improving the information provided to Police Authority/Police Committee to enable it to scrutinise police performance effectively

Financial Implications

17. The total cost of the proposed new staff would be up to £250,000. This includes on-costs of 32% calculated at the top of the pay scale and a Market Forces Supplement for the Grade I finance position.
18. It is proposed that this sum be included in the 2019/20 budget as part of the annual medium-term financial planning process, funded from City Fund.
19. If approved, the posts will be recruited to immediately and Members are asked to note that this will be a cost pressure on both the Chamberlain's and the Town Clerk's 2018/19 budgets. If required, a funding request may be made to Finance Committee for contingency funding late in the financial year.

Conclusion

20. The current Police Authority staffing model is based on a historic resourcing model and to ensure the City Corporation discharges its duties as a Police Authority there is a need to strengthen the capacity and capability of the Police Authority to mirror other PCC Offices and to reflect the changes in the policing world. The current governance arrangements - when measured against HMIC Police Authority effectiveness measures – require strengthening to ensure the Police Authority can continue to robustly and effectively support and challenge the Force.

Appendices

- Appendix 1 – Cost Comparison of OPCCs
- Appendix 2 – Standard OPCC Functions/Corporation Officers
- Appendix 3 – Proposed Police Authority Organogram

Background Papers

None

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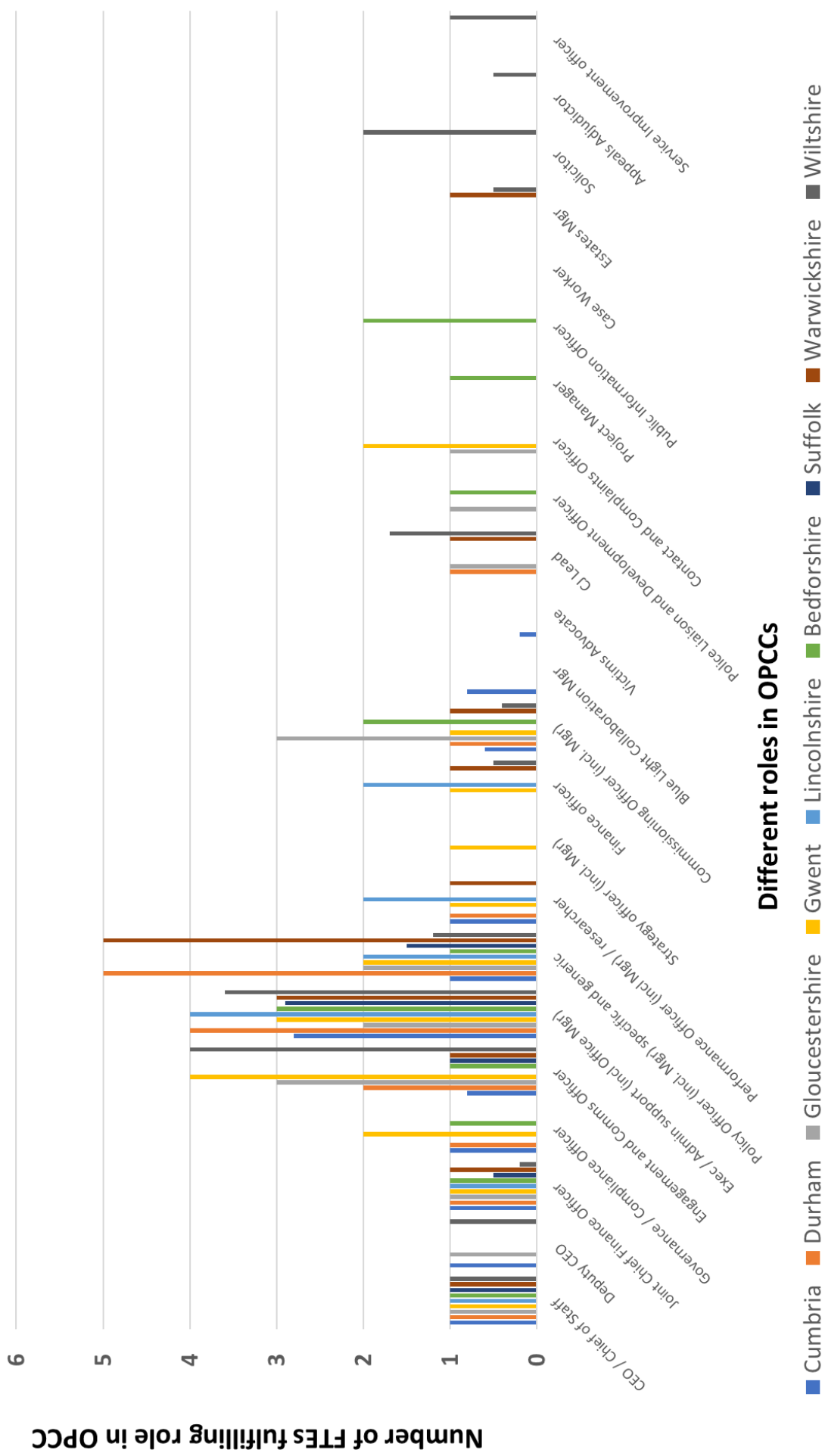
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Appendix 1 – Analysis of OPCC staff numbers and roles in 9 smallest OPCCs

	Cumbria	Durham	Gloucestershire	Gwent	Lincolnshire	Bedfordshire	Suffolk	Warwickshire	Wiltshire	
CEO / Chief of Staff	1	1	1	1	1	1	1	1	1	
Deputy CEO	1		1						1	
Joint Chief Finance Officer	1	1	1	1	1	1	0.5	1	0.2	
Governance / Compliance Officer	1	1		2		1				
Engagement and Comms Officer	0.8	2	3	4		1	1	1	4	
Exec / Admin support (incl Office Mgr)	2.8	4	2	3	4	3	2.9	3	3.6	
Policy Officer (incl. Mgr) specific and generic	1	5	2	2	2	1	1.5	5	1.2	
Performance Officer (incl Mgr) / researcher	1	1		1	2			1		
Strategy officer (incl. Mgr)				1						
Finance officer				1	2			1	0.5	
Commissioning Officer (incl. Mgr)	0.6	1	3	1		2		1	0.4	
Blue Light Collaboration Mgr	0.8									
Victims Advocate	0.2									
CJ Lead		1	1					1	1.7	
Police Liaison and Development Officer			1			1				
Contact and Complaints Officer			1	2						
Project Manager						1				
Public Information Officer						2				
Estates Mgr								1	0.5	
Solicitor									2	
Appeals Adjudicator									0.5	
Service Improvement officer									1	
									Average	
Total FTEs	11.2	17	16	19	12	14	6.9	16	17.6	14.4
Approximate Police Officer Strength	1108	1138	1055	1154	1099	1136	1096	823	966	1063
Approximate OPCC budget (£m)	0.78	1.07	0.8	NA	0.85	1.58	0.93	0.9	2.1	1.12
Approximate Force budget (£m)	124	112	96	111	115	91	102	98	108	106

Spread of different roles across OPCCs



Appendix 2 – OPCC Core Roles and Equivalents in City of London Police Authority (COLPA)

OPCC post	Equivalent post in COLPA
PCC	Police Committee through Chairman of the Police Committee (supported by Deputy and other Chairmen of Sub-Committees/Boards)
Chief Executive	Town Clerk
Policy & Governance	Assistant Town Clerk Policy Manager (Police Authority) Policy Officer
Administrator	Committee Clerk and PA to Chairman and Deputy Chairman
Complaints Review Lead* (1)	There is no current resource. However, public complaints received by the COLPA are currently handled by the Policy Officer
Commissioning Officer	None (currently covered by Policy Manager (Police Authority) in conversation with the Force lead on Public Protection)
Monitoring Officer (usually covered by CEO in OPCCs)	Comptroller and City Solicitor
Chief Financial Officer	Chamberlain
Performance Officer	Performance Analyst (Corporate Strategy and Performance Team)
Engagement & Communications Officer	Nominated rep from PRO (currently vacant)
Governance & Compliance Officer	ICV Scheme Manager – ATC's Executive Assistant

(1) This post does not exist at present, but will be required when PCCs and Police Authorities take on statutory responsibility for determining complaints appeals (to be called reviews) currently set for implementation in spring 2019

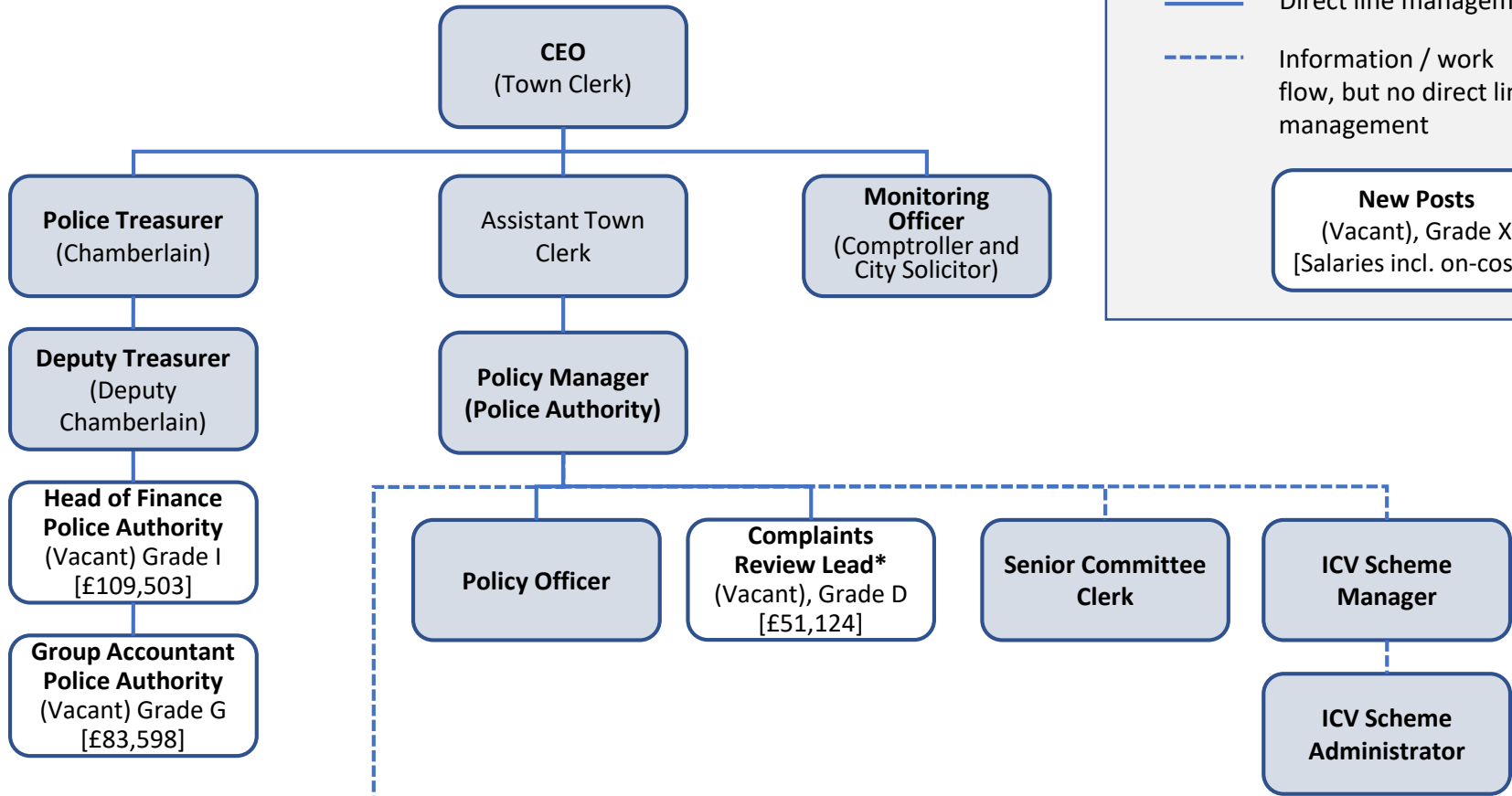
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Proposed Police Authority Organogram

Key:

- Direct line management
- - - Information / work flow, but no direct line management

New Posts
(Vacant), Grade X
[Salaries incl. on-costs]



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Professional Support Services, provided by:

- **Finance (Audit, Commissioning & Procurement)** - Chamberlain's
- **Legal** - Comptroller and City Solicitor's
- **Performance Analysis** - Corporate Strategy and Performance
- **Human Resources** - HR
- **Community Engagement** - Corporate Communications Office
- **Specialist Advice** - Surveyors, Community Safety Team, etc.

***Complaints Review Lead:** responsible for liaison with force on any complaints appeals made, reviewing investigation / outcome and providing a written report and recommendation for consideration by the Chairman of Professional Standards Sub-Committee and other panel members, and maintaining all related records.

Additional responsibilities will include FOI and GDPR lead of the team.

Will likely also include taking on role of ICV Scheme Manager at some future point.

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Committee	Date:
Establishment Committee	3 December 2018
Subject: Report of Action Taken	Public
Report of: Town Clerk	For Information
Report author: Sacha Than, Senior Committee and Members' Services Officer	

Summary

This report provides details of a decision taken under urgency procedures since your last meeting.

Recommendation

Members are asked to note the report.

Main Report

REQUEST FOR DECISION UNDER URGENCY – NEW POST, GRADE J CHIEF OPERATING AND FINANCIAL OFFICER, CITY OF LONDON POLICE

1. The City of London Police are seeking to recruit a new post of a Grade J Chief Operating and Financial Officer to provide leadership and direction to business operational activities.
2. Financial oversight is currently distributed amongst departments, which has created a need for one leading role to oversee coordination and strategic direction.
3. The postholder will be responsible for Finance, Capital Programmes, Estates, Accommodation, Facilities Management, Corporate Programme office, Human Resources and IT. They will also work with the Chief Officer Team to develop the long-term strategy of the City of London Police and ensure there is financial capacity to deliver the Force's Corporate Plan.
4. The role, including a £20,000 Market Forces Supplement will be financed from existing funds within the City of London Police budget.
5. As the City of London Police sought to commence recruitment immediately, the decision to endorse the post was taken under urgency procedures and was subsequently submitted to the Court of Common Council, also under urgency procedures.

Sacha Than

Senior Committee & Members' Services Officer

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Agenda Item 9

Committee(s)	Dated:
Establishment	3 rd December 2018
Subject: Revenue Budgets 2019/20	Public
Report of: The Town Clerk, the Chamberlain, the Comptroller and City Solicitor	For Decision
Report Author: Laura Tuckey, Chamberlain's Department	

Summary

This report is the annual submission of the revenue budgets overseen by your Committee. In particular it seeks approval of the provisional revenue budget for 2019/20, for subsequent submission to Finance Committee. The budgets have been prepared within the resources allocated to the Town Clerk and the Comptroller and City Solicitor.

	Original Budget 2018/19 £000	Latest Approved Budget 2018/19 £000	Original Budget 2019/20 £000	Movement from 2018/19 to 2019/20 £000
Town Clerk				
Local Risk				
Expenditure	(7,144)	(7,604)	(7,541)	63
Income	615	612	593	(19)
Total Local Risk	(6,529)	(6,992)	(6,948)	44
Central Risk				
Expenditure	(110)	(812)	(509)	303
Income	(0)	26	26	(0)
Total Central Risk	(110)	(786)	(483)	303
Support Charges	(1,590)	(1,046)	(1,472)	(426)
Total Town Clerks	(8,229)	(8,824)	(8,903)	(79)
Comptroller and City Solicitor				
Local Risk				
Expenditure	(4,294)	(4,580)	(4,409)	171
Income	862	874	862	(12)
Total Local Risk	(3,432)	(3,706)	(3,547)	159
Central Risk				
Expenditure	(0)	(0)	(0)	(0)
Income	200	200	200	(0)
Total Central Risk	200	200	200	(0)
Support Charges	(561)	(575)	(575)	(0)
Total Comptroller and City Solicitor	(3,793)	(4,081)	(3,922)	159
Total Net Expenditure (recharged as support services across the City Corporations activities)	(12,022)	(12,905)	(12,825)	80

Expenditure and unfavourable variances are presented in brackets

Overall, the 2019/20 proposed revenue budget totals £12.825m, a decrease of £80,000 compared with the budget for 2018/19. The main reasons for this net decrease are: -

- the budget for 2018/19 includes one-off provisions for expenditure of £188,000 (Town Clerk £88,000 and Comptroller and City Solicitor £100,000) funded from underspends brought forward from 2017/18, as detailed to, and agreed by, the Chamberlain, the Chairman of Finance Committee and the Chairman of Policy & Resources Committee in June 2018;
- the budget for 2018/19 includes one-off provisions for expenditure of £116,000 to fund employees contribution pay in that year and backdated Holiday on Overtime pay;
- a net increase in employee costs due to increments, re-grading and pay-awards that total £602,000;
- the budget for 2018/19 includes a one-off provision of £503,000 for Transformation Fund Supplies and Services related spend and
- an unidentified savings target of £671,000.

There is a savings target of 2% of the original 2018/19 net local risk budget as agreed by Finance Committee and Court of Common Council of £196,000 (£131,000 Town Clerk's Department and £65,000 Comptroller and City Solicitor's Department). This is offset by a 2% inflationary increase of the original 2018/19 net local risk budget for the same amount.

The Town Clerk's and Comptroller and City Solicitor's budgets are prepared in line with the resource base.

The Town Clerk's business priorities for the forthcoming year will be set out in the 2019/20 business plan. Key priorities for the Comptroller and City Solicitor include providing governance and legal advice to support corporate projects and programmes, providing legal support to the City Surveyors to increase rental income, continue supporting the City of London Police, the provision of governance on data protection compliance and delivering a transformational department information management project.

Recommendations

The Committee is requested to:

- Critically review the provisional 2019/20 revenue budget to ensure that it reflects the Committee's objectives;
- note the unidentified savings lines for Town Clerk's Budgets of £311,000 and £360,000 for the Comptrollers and City Solicitor's Budgets;

- if the budget reflects the Committee's objectives, approve the budget for submission to the Finance Committee and
- authorise the Chamberlain to revise these budgets to reflect any further implications arising from the Service Based Reviews and other corporate efficiency projects.

Main Report

Introduction

1. This report sets out the proposed revenue budget for 2019/20 covering expenditures and incomes attributable to the Town Clerk's and the Comptroller and City Solicitor's Departments.
2. The Town Clerk's Office lies at the centre of the City Corporation's strategic management processes, helping to shape the development of corporate policy and strategy. It provides corporate leadership and co-ordination at officer level. The Town Clerk's Office is also responsible for promoting high standards of corporate governance and providing support to Members and Committees.
3. The Comptroller and City Solicitor is responsible for providing all legal services required by the City. This includes providing legal advice to Committees, Departments of the City, to the Commissioner of Police for the City, and to other organisations for whom the Comptroller and City Solicitor is required to act as legal adviser (e.g. the Museum of London).

Business Planning Priorities

4. The Town Clerk's draft business plan priorities for 2019/20 for the service areas covered by this committee will be shared as part of the Business Plan Member scrutiny process.
5. The Comptroller and City Solicitor's priorities include:
 - To provide governance and legal advice to support the delivery of corporate projects and programmes to enhance the City and London e.g. New Courts project, City of London sponsored Academy Trusts, Bridge House Estates Strategic Governance Review, increased affordable housing provision, implementation and delivery of the Philanthropy Strategy, on-going charities rationalisation and Centre for Music project.
 - Provide legal advice, and carry out a full range of transactional work to assist the City Surveyor in the management and development of the City's Investment portfolio to achieve increased rental income (or enable key projects) and of the Corporate property portfolio to achieve maximisation of use and to provide similar services to the Director of Community and Children's Services to assist in the management of the City's housing stock and to the Director of Open Spaces in the management of the City's open spaces, disposals and acquisitions.

- Continue with the First Registration programme.
- Continue to deliver support to the City of London Police (CoLP) e.g. in the development of the Action and Know Fraud project with IBM.
- Deliver governance and expert advice to support departments in ensuring that the City of London is compliant with the General Data Protection Regulation, EU 2016/679 and Data Protection Act 2018.
- Provide governance advice, legal advice and support for changes related to the City's internal processes e.g. Standards Review; and for the City's statutory, charitable and other functions e.g. open spaces, planning, highways.
- Achieve re-accreditation with a high level of compliance to the Law Society's LEXCEL quality standard.
- Deliver a transformational departmental information management project which will facilitate paper light working, achieve process efficiencies and improve transparency and customer service.

Savings Target

6. The Finance Committee and the Court of Common Council agreed that a 2% savings target based on the Original 2018/19 net local risk budgets should be made by all departments in their 2019/20 local risk budgets. This amounts to £131,000 for the Town Clerk's Department and £65,000 for the Comptroller and City Solicitor's Department. However this is offset by a 2% inflationary increase of the original 2018/19 net local risk budget of £131,000 for the Town Clerk's Department and £65,000 for the Comptroller and City Solicitor's Department.
7. The Town Clerk's Department and Comptroller and City Solicitor's Department budgets have been prepared in accordance with guidelines agreed by the Policy & Resources and Finance Committees. The Town Clerk's budget is within the 2019/20 resource base allocated but with unidentified savings of £311,000. While the Comptroller and City Solicitor's budget is within the local risk resource base allocation with unidentified savings of £360,000.

Proposed Revenue Budget for 2019/20

8. The proposed Revenue Budget for 2019/20 is analysed between:
 - Local Risk budgets – these are budgets deemed to be largely within the Chief Officer's control.
 - Central Risk budgets – these are budgets comprising specific items where a Chief Officer manages the underlying service, but where the eventual financial outturn can be strongly influenced by external factors outside of his/her control or are budgets of a corporate nature (e.g. interest on balances and rent incomes from investment properties).

- Support Services and Capital Charges – these cover budgets for services provided by one activity to another. The control of these costs is exercised at the point where the expenditure or income first arises as local or central risk.
9. The provisional 2019/20 budgets have been prepared in accordance with guidelines agreed by the Policy & Resources and Finance Committees and are within the resources allocated to the Town Clerk's Department, which include a 2.0% savings target and 2% inflation.
 10. The overall budget for this Committee is set out in Appendix 1. Further details at a departmental level, including service overviews, are set out in Appendices 2 (Town Clerk) and 3 (Comptroller and City Solicitor). Expenditure and unfavourable variances are presented in brackets. Only significant variances (generally those greater than £100,000) are commented on.
 11. Overall there is a reduction of £80,000 between the 2018/19 latest approved budget and the 2019/20 original budget. This movement is explained by the variances set out in the following paragraphs.
 12. An increase in local risk employee expenditure of £718,000 (£424,000 Town Clerk & £294,000 Comptroller and City Solicitor) mainly a result of increasing salary costs such as yearly increments, estimated pay awards and re-gradings.
 13. There is a net decrease in the local risk budget for Supplies and Services of £263,000. The 2018/19 budget includes one-off items such as carry forwards from 2017/18 amounting to £188,000 (Town Clerk £88,000 and Comptroller and City Solicitor £100,000) with the remaining £75,000 (£70,000 Town Clerk & £5,000 Comptroller & City Solicitor) decrease being attributed to savings found within services.
 14. There are currently £311,000 unidentified savings to be found within the Town Clerk's Departmental budget and £360,000 within the Comptroller & City Solicitor's budget. These departments will be working towards finding these savings between now and into 2019/20.
 15. There is a net reduction in the central risk employee expenditure of £350,000 which is comprised of;
 - A reduction of £463,000 in the Town Clerk's Departmental budget relating to a one-off allocation to the Town Clerk's Office, from the Transformation Fund to implement the cross cutting changes needed for service transformation (there is also a corresponding reduction in income from other funds as this expenditure is recharged to all funds, see paragraph 16 below); and
 - an increase of £110,000 relating to increases in staffing costs.
 16. There is a decrease of £503,000 for the support service income directly related to the one-off allocation for the Transformation Fund (£463,000 on Employees and £40,000 on Supplies and Services, both on central risk) as detailed in paragraph 15 above.

17. A summary of employee related costs is shown in table below.

Staffing statement	Latest Approved Budget 2018/19		Proposed Original Budget 2019/20	
	Full-time equivalent	Estimated cost £0	Full-time equivalent	Estimated cost £0
Town Clerk	140.3	£ 7,389,000	133.3	£ 7,463,000
Comptroller and City Solicitor	59.2	£ 4,296,000	59.2	£ 4,590,000
TOTAL	199.5	£11,685,000	192.5	£12,053,000

Potential Further Budget Developments

18. The provisional nature of the revenue budgets particularly recognises that further revisions may arise from the necessary realignment of funds resulting from such items as:

- corporate efficiency projects;
- support service apportionments; and
- the roll out of the planned internal trading accounts for legal services.

Revenue Budget 2018/19

19. The Town Clerk's Department and Comptroller and City Solicitor's Departments forecast outturn for the current year is in line with the latest approved budget of £12.905m (£8.824m Town Clerk and £4.081m Comptroller and City Solicitor).

Appendices

- Appendix 1 – Committee budgets.
- Appendix 2 – Town Clerk's budgets and service overview.
- Appendix 3 – Comptroller and City Solicitor's budgets and service overview.

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ESTABLISHMENT COMMITTEE SUMMARY						
Analysis of Service Expenditure	Local or Central Risk	Actual Budget 2017-18 £'000	Latest Approved Budget 2018-19 £'000	Original Budget 2019-20 £'000	Movement 2018-19 to 2019-20 £'000	Paragraph Reference
LOCAL RISK - EXPENDITURE						
Employees	L	10,544	11,148	11,891	743	12
Transport Related Expenses	L	5	20	20	0	
Supplies & Services (see note ii)	L	975	1,019	756	(263)	13
Private Contractors (mainly dental service - see note iii)	L	28	24	6	(18)	
Unidentified Savings	L	0	(27)	(723)	(696)	14
TOTAL LOCAL RISK - EXPENDITURE		11,552	12,184	11,950	(234)	
TOTAL LOCAL RISK - INCOME						
Charges for specific services (see note iii)	L	(1,591)	(1,486)	(1,455)	31	
TOTAL LOCAL RISK - INCOME		(1,591)	(1,486)	(1,455)	31	
NET LOCAL RISK		9,961	10,698	10,495	(203)	
CENTRAL RISK - EXPENDITURE						
Employees (see note i)	C	528	564	214	(350)	15
Premises Related Expenses	C	39	0	40	40	
Supplies & Services	C	248	187	147	(40)	
Capital Costs	C	0	0	47	47	
Childcare vouchers	C	43	45	45	0	
Committee Contingency	C	0	16	16	0	
TOTAL CENTRAL RISK - EXPENDITURE		858	812	509	(303)	
CENTRAL RISK - INCOME						
Charges for specific services (mainly commercial property fee income)	C	(137)	(200)	(200)	0	
Other Contributions		0	0	(26)	(26)	
TOTAL CENTRAL RISK - INCOME		(137)	(200)	(200)	0	
NET CENTRAL RISK		721	612	309	(303)	
TOTAL EXPENDITURE BEFORE SUPPORT SERVICES		10,682	11,310	10,804	(506)	
SUPPORT SERVICES (see note iv)		1,931	2,124	2,047	(77)	
SUPPORT SERVICES CHARGED BY THIS COMMITTEE (see note v)		(524)	(503)	0	503	16
TOTAL NET EXPENDITURE RECHARGED AS SUPPORT SERVICES		12,089	12,931	12,851	(80)	
BY DEPARTMENT:						
Town Clerk		8,348	8,850	8,903	53	
Comptroller and City Solicitor		3,741	4,081	3,922	(159)	
		12,089	12,931	12,825	(106)	

Notes - Examples of types of service expenditure:-

- (i) Employees (central risk) – includes union representatives, Chief Officers recruitment advertising, long service mementoes.
- (ii) Supplies and Services – equipment, furniture, materials, uniforms, printing, stationery, professional fees, grants & subscriptions.
- (iii) Charges for specific services – printing & stationery charges, commercial property fee income, corporate recruitment, HR services to London Councils, dental charges recovered from employees.
- (iv) Support services reflect the share of the Guildhall complex costs and IS charges.
- (v) Transformation Fund expenditure reallocated across all funds

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TOWN CLERK - SERVICE OVERVIEW

The Town Clerk's Department provides a wide range of services and activities reporting to a number of spending committees including the Economic Development Office and the Communications Team which report to the Policy and Resources Committee and the City Bridge Trust which reports to the City Bridge Trust Committee. The following divisions are included within this committee's estimates:

Town Clerk's Office

The Town Clerk's Office lies at the centre of the City Corporation's strategic management processes, helping to shape the development of corporate policy and strategy. It provides corporate leadership and co-ordination at officer level. The Town Clerk's Office is also responsible for promoting high standards of corporate governance and providing support to Members and Committees. The section consists of Committee and Member Services, Corporate Strategy and Performance, Corporate HR and the Contact Centre.

The Town Clerk is responsible for providing clerking and related services to the Court of Common Council, the Court of Aldermen, and all the committees, sub-committees and working parties which have been created by Members. The Town Clerk is also responsible for Democratic Services via the Elections Team.

The core activity of the committee staff is to prepare and collate agendas, produce reports for the Town Clerk, ensure that meetings are conducted smoothly, produce minutes and monitor the implementation of decisions.

Corporate HR Division

The Corporate HR Unit of the Town Clerk's Department provides services to other departments in the following areas: HR Policy Development, Pay & Reward, Employee Relations, Equalities, Learning & Development, Health & Safety, Occupational Health, Trent (computerised HR/Payroll system) and Performance Monitoring. There are two business units providing operational HR support for the organisation.

TOWN CLERK	Local or Central Risk	Actual Budget 2017-18 £'000	Latest Approved Budget 2018-19 £'000	Original Budget 2019-20 £'000	Movement 2018-19 to 2019-20 £'000	Paragraph Reference
Analysis of Service Expenditure						
LOCAL RISK - EXPENDITURE						
Employees	L	6,533	6,852	7,301	449	12
Premises Related Expenses	L	0	0	0	0	
Transport Related Expenses	L	4	19	19	0	
Supplies & Services (see note ii)	L	785	736	578	(158)	13
Private Contractors (mainly dental service - see note iii)	L	28	24	6	(18)	
Committee Contingency	L	0	0	0	0	
Unidentified Savings	L	0	(27)	(363)	(336)	14
TOTAL LOCAL RISK - EXPENDITURE		7,350	7,604	7,541	(63)	
TOTAL LOCAL RISK - INCOME						
Charges for specific services (see note iii)	L	(734)	(612)	(593)	19	
TOTAL LOCAL RISK - INCOME		(734)	(612)	(593)	19	
NET LOCAL RISK		6,616	6,992	6,948	(44)	
CENTRAL RISK - EXPENDITURE						
Employees (see note i)	C	528	564	214	(350)	15
Premises Related Expenses	C	39	0	40	40	
Supplies & Services	C	248	187	147	(40)	
Capital Costs	C	0	0	47	47	
Childcare vouchers	C	43	45	45	0	
Committee Contingency	C	0	16	16	0	
TOTAL CENTRAL RISK - EXPENDITURE		858	812	509	(303)	
CENTRAL RISK - INCOME						
Charges for specific services (printing & stationery income)	C	0	0	0	0	
Other Contributions		0	0	(26)	(26)	
TOTAL CENTRAL RISK - INCOME		0	0	(26)	(26)	
NET CENTRAL RISK		858	812	483	(329)	
TOTAL EXPENDITURE BEFORE SUPPORT SERVICES						
		7,474	7,804	7,431	(373)	
SUPPORT SERVICES (see note iv)						
SUPPORT SERVICES CHARGED BY THIS COMMITTEE (see note v)		1,398	1,549	1,472	(77)	16
		(524)	(503)	0	503	
TOTAL NET EXPENDITURE RECHARGED AS SUPPORT SERVICES		8,348	8,850	8,903	53	
BY DEPARTMENT:						
Town Clerk		5,393	5,783	5,833	50	
HR		2,955	3,067	3,070	3	
		8,348	8,850	8,903	53	

Notes - Examples of types of service expenditure:-

- (i) Employees (central risk) – includes union representatives, Chief Officers recruitment advertising, long service mementoes.
- (ii) Supplies and Services – equipment, furniture, materials, uniforms, printing, stationery, professional fees, grants & subscriptions.
- (iii) Charges for specific services – printing & stationery charges, commercial property fee income, corporate recruitment, HR services to London Councils, dental charges recovered from employees.
- (iv) Support services reflect the share of the Guildhall complex costs and IS charges.
- (v) Transformation Fund expenditure reallocated across all funds

COMPTROLLER AND CITY SOLICITOR - SERVICE OVERVIEW

The Comptroller and City Solicitor is responsible for providing all legal services required by the City. This includes providing legal advice to Committees, Departments of the City, to the Commissioner of Police for the City, and to other organisations for whom the Comptroller & City Solicitor is required to act as legal adviser (e.g. the Museum of London).

The office deals with important high-profile matters such as several major City property developments schemes, service delivery initiatives, issues relating to the City's Markets and Open Spaces, advice on elections, constitutional, public and corporate law, planning and highways, and matters affecting the public realm and well-being of those who live and work in the City.

The Comptroller also advises London Councils and the three Academy Trust companies and is a member of the City's Summit Group. He is also lead officer for the Sickness Absence Review Group and Project Board Chairman for the Corporate AM and FM Review and Alternative Ways of Working Projects and Senior Information Risk Owner (SIRO) for the Corporation. As the nominated Data Protection Officer for the City the Comptroller holds management responsibility for Data Protection.

The legal department is divided into four divisions:

Contracts and Litigation Division

This division deals with all aspects of contract preparation including, data sharing, funding (e.g. Police National Lead Force) international theatre and art exhibitions, intellectual property including disputes, licensing and publishing; complex procurement including the new collaborative procurement and framework agreements; civil litigation including debt collection, squatters housing repossession and homelessness, insolvencies and winding up actions; employment law, discrimination and TUPE; local authority prosecutions and licensing, Judicial Reviews, inquests, Proceeds of Crime Act recovery and child care actions.

Property Division

This division deals with all aspects of property work, including high profile commercial developments, the grant and taking of leases, sales and purchases, property management matters, housing issues, residential conveyancing, open spaces, and other legal matters concerning property. Their work particularly helps the City to maximise capital receipts and income from property assets a key strategic objective.

Public & Corporate Law Division

The Public & Corporate Law Division deals with planning, traffic and highways law; open spaces matters; charity and trusts associated with the City; advising on corporate law and providing company secretarial support in respect of companies associated with the City or external clients; privacy and information law; public law and constitutional issues for both the City and London Councils; ecclesiastical law, electoral law, education matters (both as local authority and as academy sponsor in respect of the three Academy Trust companies); advice on economic development issues and joint working arrangements with other local authorities and bodies.

Office Services Division

This division provides comprehensive support to the Comptroller and City Solicitor service on HR related matters, budget management and finance, commercial rent collection, IT development, procurement, information management, risk management, quality assurance and secretarial services. The FoI and DP Compliance team joined C&CS in 2017, under the direction of the Comptroller

provides guidance, advice and monitoring on data protection issues and are coordinating General Data Protection Regulation compliance across the City.

COMPROLLER & CITY SOLICITOR	Local or Central Risk	Actual Budget 2017-18 £'000	Latest Approved Budget 2018-19 £'000	Original Budget 2019-20 £'000	Movement 2018-19 to 2019-20 £'000	Paragraph Reference
Analysis of Service Expenditure						
LOCAL RISK - EXPENDITURE						
Employees	L	4,011	4,296	4,590	294	12
Transport Related Expenses	L	1	1	1	0	
Supplies & Services (see note ii)	L	190	283	178	(105)	13
Unidentified Savings	L	0	0	(360)	(360)	14
TOTAL LOCAL RISK - EXPENDITURE		4,202	4,580	4,409	(171)	
LOCAL RISK - INCOME						
Charges for specific services (commercial property fee income)	L	(857)	(874)	(862)		12
TOTAL LOCAL RISK - INCOME		(857)	(874)	(862)		12
NET LOCAL RISK		3,345	3,706	3,547	(159)	
CENTRAL RISK - EXPENDITURE						
Supplies & Services (see note ii)	C	0	0	0	0	
TOTAL CENTRAL RISK - EXPENDITURE		0	0	0	0	
CENTRAL RISK - INCOME						
Charges for specific services (commercial property fee income)	C	(137)	(200)	(200)	0	
TOTAL CENTRAL RISK - INCOME		(137)	(200)	(200)	0	
NET CENTRAL RISK		(137)	(200)	(200)	0	
TOTAL EXPENDITURE BEFORE SUPPORT SERVICES		3,208	3,506	3,347	(159)	
SUPPORT SERVICES (see note iv)		533	575	575	0	
TOTAL NET EXPENDITURE RECHARGED AS SUPPORT SERVICES		3,741	4,081	3,922	(159)	
BY DEPARTMENT:						
Comptroller and City Solicitor		3,741	4,081	3,922	(159)	
		3,741	4,081	3,922	(159)	

Notes - Examples of types of service expenditure:-

(ii) Supplies and Services – equipment, furniture, materials, uniforms, printing, stationery, professional fees, grants & subscriptions.

(iv) Support services reflect the share of the Guildhall complex costs and IS charges.

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Committee	Date:
Establishment Committee	3 December 2018
Subject: Corporate Health Safety and Wellbeing Policy (Minor revision / reissue) – Draft HSP1: Version 01 - 03	Public
Report of: Chrissie Morgan, Director of Human Resources	For Decision
Report author: Justin Tyas, Human Resources, Town Clerks	

1.0 Summary

- 1.1 This report outlines minor revisions to, and the refreshing of the Corporate Health Safety and Wellbeing Policy (HSP 1) which is due for review at the end of 2018.
- 1.2 The suggested revisions and updates to the existing policy, along with explicit reference to the Corporate Plan (2018 – 2023). A suggested appendix on *Health and Safety Responsibilities – Schools* is proposed, with the aim of clarifying where the Corporate Health Safety and Wellbeing Policy applies.

2.0 Recommendation

- 2.1 Members of the Establishment Committee are asked to:
- Endorse the suggested revisions and refreshing of the Corporate Health Safety and Wellbeing Policy (HSP1 - draft Version 01 – 03) and agree the revised Policy attached as Appendix 1.

Main Report

3.0 Background

- 3.1 The current format for the Corporate Health and Safety Policy was agreed by the Establishment Committee in April 2013.
- 3.2 The Health and Safety Policy was subject to minor revisions including updating of the corporate governance arrangements and was re-issued (HSP1 - Version 01 -02) as the Corporate *Health Safety and Wellbeing Policy* in October 2016.
- 3.3 Member have received updates on mental health and wellbeing and the refreshed Health Safety and Wellbeing Policy now includes wellbeing within the wider Policy remit.

4.0 Current Position

4.1 The Corporate Health Safety and Wellbeing Policy is due to be reviewed by the end of 2018. Members of the Safety Managers Forum have been consulted on minor revisions and refreshing of the Policy prior to undertaking further consultation via the Corporate Health Safety and Wellbeing Committee. All Chief Officers have been directly consulted on the draft Policy which was endorsed by Summit Group. Other consultees include the unions, and the Children's and Community Services Health and Safety Committee.

4.2 The main changes proposed include:

- Minor corrections to the text / reformatting (where required)
- Explicit reference made to the Corporate Plan (2018 – 2023) and its desired outcomes
- Incorporation of wellbeing within the wider proposed Policy
- Managers' responsibilities for promoting the City Corporation's equality and inclusion objectives have been added
- A new appendix to the Policy is suggested setting out the Health and Safety Responsibilities for Schools with the aim of ensuring clarity is given to the responsibilities for the Multi-academy Trusts and other such arrangements.

5.0 Proposals

5.1 That the revised and refreshed Corporate Health Safety and Wellbeing Policy, (draft HSP1 – Version 01 – 03) attached as Appendix 1 be approved by the Establishment Committee.

5.3 The *Safety Policy Statement* (by the Town Clerk), reflecting the City Corporations current behaviours / expectations will be refreshed and reported to a future meeting of the Committee.

6.0 Implications

6.1 Everything we do supports the delivery of the Corporate Plan's three strategic objectives, including contributing to a flourishing society, especially:

- ***People are safe and feel safe*** (Outcome 1);
- ***People enjoy good health and wellbeing*** (Outcome 2)

6.2 The Corporate Health Safety and Wellbeing Policy is entirely consistent with this approach, providing the governance and framework (safety management system) to support these outcomes, and derive performance.

7.0 Corporate & Strategic Implications

- 7.1 The Health and Safety at Work etc Act 1974 (HASWA) remains the primary legislation which sets out the legal duties on health and safety. The Health and Safety Executive (HSE) are the principal enforcers and have a statutory duty to enforce the requirements of the legislation.
- 7.2 The main legal requirements can be summarised as follows - health and safety law states that organisations must:
- provide a written health and safety policy;
 - assess and control risks to employees, customers, partners and any other people who could be affected by their activities;
 - arrange for the effective planning, organisation, control, monitoring and review of preventive and protective measures;
 - ensure they have access to competent health and safety advice;
 - consult employees about their risks at work and current preventive and protective measures
- 7.3 The Corporate Manslaughter and Corporate Homicide Act 2007 (CMCHA07) identifies senior management as people who play a significant role in making decisions about some or all of the activities managed/organised by the organisation.
- 7.4 It is an offence, if the way in which an organisation's activities are managed/organised, causes a person's death as a result of a gross breach of the organisation's duty of care, by senior management. Under the provisions of the 2007 Act, the offence is committed by the organisation although it is possible for individuals to be prosecuted for gross negligence manslaughter.
- 7.5 Under the Corporate Manslaughter and Corporate Homicide Act 2007 the maximum penalty is an unlimited fine and the court can additionally make a publicity order requiring the organisation to publish details of its conviction and fine.
- 7.6 February 2016 saw the introduction of the Sentencing Council's Definitive Guideline for the Sentencing of Health and Safety Offences, Corporate Manslaughter and Food Safety and Hygiene Offences. *The principal focus of the Guideline is to ensure fines are sufficiently substantial to have a real economic impact which will bring home to both management and shareholders the need to comply with health and safety legislation.* During the first two years this has certainly been the case, with multiple fines exceeding £1,000,000.
- 7.7 There are other various statutory instruments that contain legislative requirements in relation to health and safety. Failure to comply with these requirements can have serious consequences – for both organisations and individuals. Sanctions under the pre-existing legislation (Health and Safety at Work etc Act 1974 and associated statutory instruments, Approved Codes of Practice etc.) include fines, imprisonment and disqualification.

8.0 Conclusion

- 8.1 The City Corporation has an effective Health Safety and Wellbeing Policy which has set the tone from the top and has provided the arrangements and framework (safety management system) to drive performance.
- 8.2 A radical redrafting of the Corporate Health Safety and Wellbeing Policy is not required. However, the regular review required of the policy affords a natural opportunity to refresh it so that it remains relevant to corporate objectives and our priorities.
- 8.3 There may be a further opportunity to refresh the *Safety Policy Statement* (by the Town Clerk), reflecting the City Corporation's current behaviors / expectations.

Appendices

Appendix 1 - Corporate Health Safety and Wellbeing Policy

Background Papers

- HSP 1 - Corporate Health Safety and Wellbeing Policy (Version 01 – 02, October 2016)
- The Health and Safety at Work etc. Act 1974
- The Management of Health and Safety at Work Regulations 1999
- The Regulatory Reform (Fire Safety) Order 2005
- The Sentencing Guideline (Health and Safety) 2016

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HSP1 - Corporate Health, Safety and Wellbeing Policy

VERSION number	01-03
DATE	November 2018
REVIEW DATE	November 2021
AUTHOR	Oliver Sanandres / Justin Tyas
Approved by	Establishment Committee

This Policy can only be considered valid when viewed via the CoL Intranet website. If this document is printed in hard copy or saved to another location, you must check that the version number on your copy matches that of the one on-line.

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INTRODUCTION

As an employer, the City of London Corporation is required by the Health and Safety at Work Act etc. 1974 to prepare a written statement of its general policy with respect to Health and Safety as to how it will fulfil its general duties as an employer:

- (a) the provision and maintenance of plant and systems of work that are, so far as is reasonably practicable, safe and without risks to health;
- (b) arrangements for ensuring, so far as is reasonably practicable, safety and absence of risks to health in connection with the use, handling, storage and transport of articles and substances;
- (c) the provision of such information, instruction, training and supervision as is necessary to ensure, so far as is reasonably practicable, the health and safety at work of employees;
- (d) so far as is reasonably practicable as regards any place of work under the employer's control, the maintenance of it in a condition that is safe and without risks to health and the provision and maintenance of means of access to and egress from it that are safe and without such risks;
- (e) the provision and maintenance of a working environment for employees that is, so far as is reasonably practicable, safe, without risks to health, and adequate as regards facilities and arrangements for their welfare at work.

Our policy includes details about the organisation and arrangements for carrying out the policy and must be brought to the attention of all employees. As a responsible employer, we go beyond the minimum legal obligations to support and encourage our employees to be healthy and resilient individuals. The Corporation has chosen to adopt a holistic and proactive approach to workplace health, safety and wellbeing, by adopting preventative measures; this enables us to safeguard the physical health and mental wellbeing of our employees.

This document has been prepared to meet these legal requirements. This policy does not contain specific procedural instructions. To check for current corporate guidance, refer to the Health Safety and Wellbeing pages ([People & Property](#)) on the intranet. Departmental arrangements must be prepared locally as necessary to deal with specific issues using the corporate framework facilitated by this Policy.

Everything we do supports delivery of our Corporate Plan (2018 – 2023) where our top-level outcomes include *contributing to a flourishing society where people are safe and feel safe and people enjoy good health and wellbeing.*



SAFETY POLICY STATEMENT

Safety isn't separate from our business. It's central to everything we do. Each and every one of us must put safety at the heart of what we do in delivering our excellent services. If we do this together, we can all keep the City working safely, for our visitors and our workforce.

Putting safety at the centre of everything does not mean placing obstacles in the way of progress; it's more about the behaviour displayed by our staff in discharging their responsibilities.

Being open and honest

We all have a duty to report and share information. It's not just accidents and emergencies that need to be recorded, but also those close calls or near misses. Getting that feedback means we will learn and hopefully prevent any accidents and let us get better at what we do.

Let's understand what went wrong, why it went wrong, and how we can make improvements.

Working with others

Although I maintain ultimate responsibility, I have delegated duties to the Chief Officers to ensure that they have their own Departmental Management Systems and Policies bespoke and risk profiled to their services, which will detail their commitment and arrangements as necessary, identify specific targets and provide a measure of monitoring to gauge their performance.

Safety isn't just a personal responsibility, our managers, our health and safety coordinators, the trade unions and external partners such as contractors and suppliers, all have a critical role in delivering safety.

Embracing safety

It can be easy for people to see safety as getting in the way and slowing us down.

The truth is that working safely improves productivity, efficiency and can often deliver substantial savings. This alone should align our business objectives to ensure safety is used to drive and deliver savings and preventing waste

Communicating clearly

As a unique and complex organisation we need to make sure that people understand what they need to do to stay safe, and so, our processes, safe systems of work and basic rules are much more likely to be remembered and adhered to if they are presented in a clear and uncomplicated way.

Trust your instincts

If something doesn't feel safe, the chances are it's not. So, don't do it, stop the job and speak up. If you see others doing something that feels risky, stop them and report it. Short cuts are often when accidents happen. So don't take them.

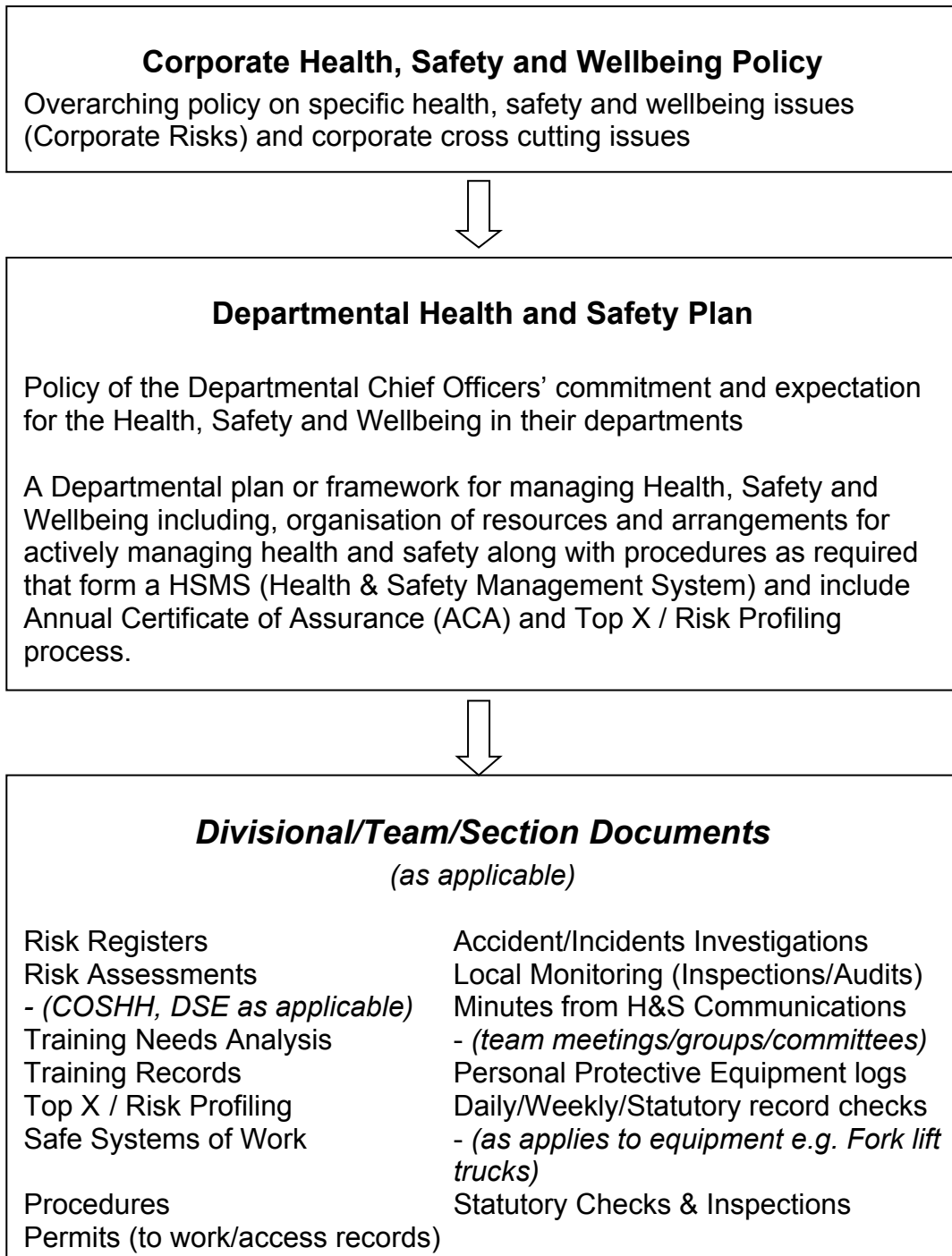
I don't believe in a blame culture within the City of London Corporation. I do believe, however, that only by working as a team, with people taking responsibility, pride and acting professionally in their roles, to ensure they work safely, will we be able to foster a positive safety culture across the City of London Corporation

Signed:

John Barradell
Chief Executive & Town Clerk

1. POLICY PURPOSE & SCOPE

This policy, in conjunction with other corporate, departmental documents and procedures, provides direction on the management of Health Safety and Wellbeing across the City Corporation and how to fulfil your own health, safety and wellbeing responsibilities.



The fundamental aim of this policy is to ensure the health, safety and wellbeing of our employees, service users, visitors and contractors involved in the delivery of our services.

Application of Policy

This policy applies to all Corporation of London Corporation workers including; Members, City of London Police, our independent schools, agency staff, casuals, volunteers and others working for or on behalf of the Corporation, such as contractors.

This policy does not apply to City of London Multi-Academies Trust and the other 'family' of schools (**Appendix 1**).

The City Corporation recognises and accepts the duties and responsibilities placed on it as an employer by the Health and Safety at Work Act etc.1974.

As an organisation providing a wide range of public/private services, we acknowledge our duties not only to employees but also to others who are affected by our activities. We acknowledge that no activity is so important or urgent enough to compromise health, safety and wellbeing.

Anyone working on the City's behalf on any of our sites, paid or unpaid, must be advised orally, contractually or otherwise that they must have regard to health and safety and exercise all care so as to eliminate or suitably control hazards and reduce risks to themselves and others.

The City Corporation is committed to meeting its statutory obligations and has a responsibility, as far as is reasonably practicable to:

- Provide and maintain safe and healthy working conditions, taking account of any statutory requirements
- Ensure that the adequate resources are made available by the City Corporation and its partners to meet the requirements of this policy
- Assess the risks to the health, safety and welfare of employees and visitors whilst they are on City Corporation premises and to maintain a record of all risk assessments carried out as required under the *Management of Health and Safety at Work Regulations 1999*
- Adopt a systematic approach to safety that identifies priorities and sets objectives whereby risks are eliminated or minimised, so far as reasonably practicable, by the correct selection and design of facilities, equipment and processes
- Provide information, operational policies and procedures, training, instruction and supervision to enable employees to perform their work safely and efficiently
- Maintain a constant and continuing interest in health, safety and welfare matters, consulting and involving employees or their representatives wherever possible
- Undertake Sensible Risk Management as recommended by the Health and Safety Executive (HSE)
- Adopt a proactive approach to wellbeing to further reduce sickness absence and presenteeism levels

- Continue to undertake analysis into the success of wellbeing interventions to track a return in higher levels of engagement and productivity of our employees

Control of Safety Policies

An important element in governance and compliance with Health and Safety legislation is a consistent approach to the development and control of policies. This policy aims to ensure a consistent and evidence based process for the development, ratification and distribution of strategies, policies, procedures and guidance. Departments must have regard to the procedure document - HSPR4 Developing and Implementing Safety Policies and Procedures when formulating any Safety Policy, Procedure or Guidance document.

2. RESPONSIBILITIES

The [City Corporation Health & Safety Management Arrangements](#) at Appendix 2 are based on the HSG 65 model as published by the HSE. It identifies tasks, processes and responsibilities at each stage of the safety management model.

The [Consultation and Communication Flowchart](#) at Appendix 3 demonstrates how information on safety is shared up and down the organisation at different levels, how systems integrate and assurance on these are provided to employee representatives senior managers and Members.

The City of London recognises that as an employer we have a responsibility and duty of care for physical health and mental wellbeing in the workplace, however all employees have an obligation to take reasonable care of their own personal health and wellbeing.

2.1 Members & Committees

Members and other nominated parties acting on Committees play a crucial strategic role at the City Corporation. It is important to demonstrate leadership and commitment to improving health, safety and wellbeing performance and to verify effective application of strategic health and safety governance in the discharging of their duties.

Members of City Corporation Committees are expected to ensure that health safety and wellbeing is adequately considered when making decisions at a strategic level and thereby can demonstrate clear, visible leadership and accountability for the health and safety aspects of their services and activities covered by their Committees.

2.2 Town Clerk & Chief Executive

The Town Clerk will ensure that all appropriate mechanisms are in place for this policy to be applied across the City Corporation.

The Town Clerk will: -

- Provide leadership to ensure good standards of health and safety performance
- Ensure the provision of competent health and safety advice
- Ensure adequate resources are available for health and safety (such as the delivery of training, provision of systems and procedures), as necessary

- Ensure that the organisation and arrangements for carrying out the City's health safety and wellbeing policy and other statutory requirements are adequate
- Determine and periodically review City Corporation wide targets in respect of health and safety
- Chair a strategic corporate Health, Safety and Wellbeing Committee whose specific responsibility is to lead, deliver and coordinate our vision for a safe, secure and healthy workforce.

2.3 Chief Officers

Chief Officers are ultimately responsible for ensuring the implementation of corporate and departmental policies within their departments.

Chief Officers/Headteacher shall:

- Through leadership and personal example, foster positive attitudes towards health, safety, welfare and security throughout their departments so that their beliefs and commitment to health and safety become the shared values of all employees.
- Ensure that a departmental policy is in place and is regularly reviewed that gives details about the organisation of resources and safety arrangements for their department in order to support health, safety and welfare management.
- Ensure that health and safety plans are in place;
 - management teams know and fulfil their individual responsibilities regarding health and safety.
 - that they receive relevant information, instruction and training so they are competent to carry out the health and safety tasks assigned to them.
- Ensure the implementation of effective safety management systems within their department
- Ensure that there are designated departmental safety managers and other competent persons within their department with clear responsibilities for health and safety coordination and that they monitor the degree to which these responsibilities are met by managers.
- Oversee health and safety performance in their areas of responsibility through the development of appropriate Key Performance Indicators (KPIs) and actively contribute to achieving the City Corporation's overall health safety and wellbeing strategic aims and KPIs.
- Ensure that operational health and safety matters are regularly discussed and addressed within each of their Management Teams.
- Form an appropriate safety working group for the discussion of specific departmental issues on safety; see point 3.5, Departmental Health and Safety Groups / Committees
- Give effect to mechanisms for the proactive monitoring of safety systems and control measures through an appropriate inspection and audit programme to enable the annual assurance process.

- Ensure the relevant department is adequately represented at the strategic Corporate Health Safety and Wellbeing Committee as necessary and ensure minutes are read, actioned and communicated to staff as necessary.
- Identify *and* agree clear responsibilities for building management issues where:
 - a building is occupied by more than one department,
 - services are received from other Chief Officers; or
 - the department is spread over various sites i.e. fire risk assessment, first aid provision etc

Where more than one Chief Officer is responsible for managing a site or building it must be agreed which Chief Officer will lead on building management issues and have primary responsibility for the asset.

- Set annual targets for health and safety performance within their departments in support of the City Corporation's strategic aims.

The result of the annual audit will be summarised into an Annual Certificate of Assurance (ACA), which will be provided to the Corporate Health Safety and Wellbeing Committee as necessary.

2.4 Managers

All managers within their departments are responsible for ensuring that activities carried out under their control are conducted safely and in accordance with relevant safety legislation, safety policies and their local procedures. Some of these responsibilities may be delegated to section heads, supervisors or team leaders, as appropriate.

Delegation does not remove responsibility and Senior Managers need to check periodically that the responsibilities are being discharged.

Managers at all levels have a role in safety management and as such managers are required to review the responsibilities that may apply to them, these can be seen in more detail in the document "[HSG20 - Guidance for Managers on Health & Safety compliance](#)".

All managers must complete the following training courses; Managing Health and Safety Briefing or e-Learning equivalent, and Mental Health Awareness for managers.

Managers are responsible for setting an example and promoting health safety and wellbeing best practice in the workplace in accordance with the City Corporation's Equality and Inclusion values; helping to build a work environment which is healthy, inclusive and ensures equality of opportunity.

2.5 Departmental Safety Managers

Each department must nominate an appropriate officer to act as the Departmental Safety Manager. They will act as coordinators for their department on health and safety matters. It is not their job to do health and safety for their department but to facilitate and monitor compliance for the department through the appropriate provision of information, instruction and training for managers to ensure health and safety is assured.

They will assure that local safety management systems are in place as directed by the Chief Officer.

They will provide a conduit and key single point of contact between the Corporate Health, Safety and Wellbeing Team for key safety information exchange including-

- Policy creation and Guidance consultation
- Accident/Incident Reporting and Investigation
- Safety specific training procurement
- Local Compliance (Inspection & Auditing)
- Top X / Risk Profiling submissions
- Annual Certificate of Assurance (ACA) submission

They must be competent in accordance with the risk profile of their department.

Departmental Safety Managers must also attend the Departmental Safety Managers Forum (DSMF) as agreed in its Terms of Reference.

2.6 Corporate Health, Safety and Wellbeing Teams

The Corporate Health, Safety and Wellbeing team constitutes the City Corporation's competent advisor as required under *Regulation 7 of the Management of Health and Safety at Work Regulations 1999*. It provides advice corporately on Health and Safety.

The team will as part of its function provide the auditing and monitoring function to provide assurance to the Town Clerk and Chief Officers on compliance with our safety management systems and therefore safety legislation across the City Corporation. It will report on compliance and monitor performance corporately using the relevant safety performance indicators.

The Corporate Health & Safety Manager (Property) and Head of Health Safety and Wellbeing are appointed as the "Competent Persons" for the City Corporation to assist in development of a strategy for Health & Safety, provide advice, inform and assist any employee or department within the City Corporation.

Justin Tyas – Health, Safety and Wellbeing Manager (People)
Peter Dempsey - Health & Safety Manager (Property)

Appropriately, authorised officers within the health and safety section will:

- have access to all areas and carry out planned and unannounced inspections and audits within any area of the City Corporation and be afforded the maximum cooperation by all managers in relevant departments as is necessary.
- have the appropriate authority to make safe or stop any works being carried out by, for or on behalf of the City Corporation or on City Corporation property, until such risks are adequately controlled, where a serious danger or risk is identified or suspected.
- Produce health safety and wellbeing performance reports for the Chief Officer Group, Corporate Safety Committee and others as required.

- Act as principal liaison with the Health and Safety Executive, Police & Fire Service in relation to health and safety related matters occurring in corporate buildings and other appropriate enforcement authorities as necessary.

2.7 Facilities Managers / Premises Controllers

Facilities Managers are those officers, designated by relevant Chief Officers to carry out the following duties and responsibilities:

- Monitor and assess the safe condition of the fabric and structure of buildings and to seek, where necessary, specialist professional/technical advice from other City Corporation departments and take remedial action as necessary.
- To ensure, for buildings in multiple occupancy, that appropriate consultation is carried out with users on health and safety issues affecting all aspects of use of the building including changes to the structure, occupancy and fabric of the building.
- To specifically draw up and revise as necessary, risk assessments for common areas in the building and to co-ordinate the assessment of other hazards that impact on health, safety or security of the building or occupants.
- To hold and maintain an up to date and appropriate premises health and safety file which may include, copies of risk assessments, any asbestos registers / management plans and appropriate evidence of monitoring and inspections e.g. water temperature checks to support Legionella control, etc.
- To coordinate arrangements in the building for dealing with emergencies including fire and mass evacuations to safeguard occupants and others who could be harmed.
- To bring to the attention of any person that may carry out work on the fabric or fixture and fittings of the building any known hazards. For example, through the provision of any asbestos management plan or any other controls in place for potentially hazardous work areas such as Permits to Work or for high risk processes such as Hot Works Permits.
- To bring to the attention of the appropriate senior manager matters outside their control or competence but which have implication for the continuing safety and integrity of the building or its use.
- To coordinate and monitor any works undertaken by contractors. All such works are deemed to form part of the City of London Corporation's undertakings.

2.8 Employees

All employees have a legal obligation to take reasonable care for their own health and safety and for that of others (e.g. volunteers) and to co-operate with respect to health and safety matters. In addition, all employees must:

- Work safely and efficiently without endangering their own health and safety, and that of their colleagues and any other person who may be affected by their acts and omissions.
- Ensure that they understand the health and safety rules and procedures that apply to their work and that they follow any safety instructions issued by their Supervisor, Team Leader or Manager.
- Staff are expected to adhere to other policies and guidance on safe systems of work such as the drug and alcohol misuse policy and any local Health and Safety procedures.
- Not recklessly interfere with or misuse any equipment or systems intended for ensuring health and safety.
- Attend health and safety training as required, and actively put it into practice the learning from this training.
- Advise their Line Manager of any additional or unmet training needs, deficiencies in safe working systems, faults or hazards in their working environment.
- Report any accidents, incidents, near misses or hazardous situations; including violence and aggression to a manager as soon as possible after the incident. Staff must fully cooperate as required in any subsequent investigation and provide all facts as necessary to the investigating officer.
- Not bring into the workplace without the appropriate authority any tool, substance or piece of equipment of their own which is potentially hazardous to their health and safety and that of others.
- Be aware of the emergency evacuation procedures, positions of fire alarms, equipment and exits and know who the Local Fire/Safety Marshall and First Aider are for the area where they are working, and who to contact in an emergency.

2.9 Union Safety Representatives

In order to comply with the Safety Representatives and Safety Committee Regulations 1977 (as amended) and the Health & Safety (Consultation with Employees) Regulations 1996, each recognised union must notify the City Corporation in writing of the appointment of any employee as a Safety Representative. The main responsibilities of a safety representative are:

- To investigate significant hazards and dangerous occurrences to determine the root cause of accidents and investigate complaints by any person they represent relating to that person's health, safety or welfare and attend health and safety meetings where appropriate to ensure their members are effectively represented.
- To carry out inspections of the workplace at agreed intervals having given reasonable notice to the responsible manager.

- To receive information from the Corporate Health, Safety and Wellbeing Team, Health and Safety Inspectors and others on behalf of employees whose health and safety they represent and to make representations to the appropriate Senior Manager on matters arising from the above duties.
- The City Corporation provides a Corporate Health, Safety and Wellbeing Committee that discusses corporate issues, disseminates information and monitors performance. The Unions may each nominate an attendee. Terms of Reference can be viewed upon request to the Head of Health, Safety and Wellbeing.

2.10 Disciplinary Action

Failure to follow safe working practices and instructions or fulfil responsibilities is a serious matter and may lead to disciplinary action up to and including dismissal.

3. ORGANISATIONAL ARRANGEMENTS

3.1 Departmental Health and Safety Policy

There is no requirement to develop a local Health and Safety Policy. A short statement of commitment / intent from the Chief Officer should suffice simply to provide:

- a link between the corporately laid down responsibilities and what will be expected in local practice departmentally
- senior commitment to managing health and safety within the department.

These can often form part of the Health & Safety Plans as shown below as a simple statement or precis to the plan.

3.2 Health and Safety Plans

All departments are required to develop and implement their own departmental health, safety and wellbeing plans. The departmental plan is not intended to duplicate existing or proposed corporate policy statements, procedures or codes of practice

This key document will establish a structure for managing health and safety within the department, highlighting arrangements within each division.

Plans detail how health, safety and wellbeing is managed and organised in each department. It shall identify named individuals with specific health and safety responsibilities, and the systems in place for securing health and safety at a local level. It must be tailored to meet the needs of a division taking into consideration the nature of work and associated risks. It also secures ownership and accountability. It will form a key part of the Health and Safety Management system and shall remain a live document.

More information can be found on Health & Safety Plans on the intranet.

3.3 Safety Risk Management

The City Corporation manages its Health and Safety risks proactively through a system of risk assessments and 'Top X' / risk profiling and reporting. A full explanation of this is in

the guidance notes "[Risk Assessment Guidance](#)" and "[Top X / Risk Profiling Guidance](#)" on the intranet.

Pentana is the Corporate Risk Management Information System. Departments must maintain their Top X / risk profiling registers on Pentana. Top X risks will be constantly reviewed by the Corporate Health & Safety Team and where appropriate discussed at the Corporate Health, Safety and Wellbeing Committee meetings.

3.4 Assurance

Local Assurance

It will be the responsibility of local managers to monitor their day-to-day performance with regard to health and safety including regular monitoring and compliance and review of their risk assessments, the investigation of accidents and near misses as appropriate, identifying those at risk with regard to health issues, maintaining records, and reporting to local health and safety committees.

Departmental Assurance

It will be the responsibility of Chief Officers to provide adequate mechanisms for the proactive monitoring of safety performance including an inspection programme and annual assurance programme.

The result of the annual audit will be summarised into an Annual Certificate of Assurance, which will be reviewed as necessary by the Health Safety & Wellbeing Committee and the Town Clerk. Details of the assurance process can be found on the intranet under the ACA, [Annual Certificate of Assurance Procedure](#).

Corporate Assurance

Refer to Paragraph 2.8, Role of the Corporate Health Safety and Wellbeing Teams.

3.5 Departmental Health, Safety and Wellbeing Groups / Committees

Each department as part of its arrangements for safety management will form a Departmental Safety Group/Committee. Health and safety management, performance and issues affecting that department should be discussed within this framework.

- It is expected the group is chaired by a Senior Manager of the department or Chief Officer as appropriate
- It is expected these groups will meet as necessary in accordance to the departmental risk profile, but at least twice a year
- Minutes will be published on the intranet and made available to all staff
- Agendas for the meeting must be appropriate with regards to the departments work or risk profile
- Accidents and incidents statistics will be monitored by this group and reviewed as necessary to ensure departmental learning and prevention of recurrence
- The Health, Safety and Wellbeing Manager (or their representative) will be invited to all groups and will attend as necessary to provide central updates on health and safety matters or facilitate information sharing and corporate learning

A suggested structure for this group and the interaction of any safety sub groups is available via this link: [Suggested H&S Group / Committee Structure](#)

3.6 Corporate Health, Safety and Wellbeing Committee

The Corporate Health, Safety and Wellbeing Committee is a Chief Officer-led committee whose function is to advise and make recommendations to the City Corporation's Chief Officer Group on matters relating to the overall management of health, safety and wellbeing throughout the organisation.

The Committee shall meet quarterly. Special meetings to discuss matters of urgency may be agreed by the Chair (Town Clerk).

The Committee may delegate appropriate business to managers and/or departmental safety committees/groups and can require reports of any outcomes.

The Committee will also receive reports on the meetings of the departmental safety committees / groups or other meetings where safety issues have been discussed, to ensure corporate oversight and dissemination of issues raised within one service area or externally, where these may have implications for other City Corporation service areas.

The committee will help to:

- Raise the profile of health, safety and wellbeing across the City Corporation and provide corporate visibility to ensure good standards of health and safety performance in all the City's activities
- Ensure that the organisation of arrangements for carrying out the City's health and safety policy and other statutory requirements are adequate.
- Develop and oversee the implementation of health and safety strategy for the City Corporation.
- Monitor and track any enforcement action by relevant agencies being taken against the City Corporation and ensure corporate lessons are learnt
- Review specific health, safety and wellbeing policies for the City Corporation and consider best practice.
- Resolve issues that arise within or between Departments that have been unable to be resolved at a local level.
- Monitor the implementation of any strategy or improvement plans for health, safety and wellbeing within the City Corporation.
- Monitor key performance information regarding health and safety across the City Corporation and make recommendations for improvement where required.
- Monitor and make recommendations on the effective use of financial, human, physical and information resources with regard to effective management of health and safety.
- Determine and periodically review City Corporation-wide targets in respect of health and safety issues.
- Work with our Insurance team to actively identify trends and lessons learned to help mitigate/reduce the level of incidents

The Corporate Health and Safety Committee Constitution and Terms of Reference can be found on the intranet.

3.7 Occupational Health Service

The Occupational Health Service forms part of the competent adviser network as required under regulation 7 of the Management of Health and Safety at Work Regulations (MHSWR) 1999.

Their role in conjunction with the Health, Safety and Wellbeing Team is to provide advice on the health aspects of risk management. This also includes the provision of health surveillance programmes identified by management risk assessments under regulation 6 (MHSWR 1999).

The service provides information and advice to assist managers in meeting requirements laid down by health and safety legislation specific to health risk management. It also provides confidential and impartial advice to employees and management / HR on matters of health that may affect their ability to carry out some or all of their tasks.

The Occupational Health Service is responsible for promoting health and wellbeing matters in the workplace. The service plays an integral role to our progressive and proactive role as an employer to safeguard the physical health and mental wellbeing of our employees.

4. MONITORING & AUDITING

For this policy to be effectively implemented there need to be active and reactive monitoring processes in place. Assurance will be established by:

Documentation - Departmental Health and Safety Policies, Health and Safety Plans, copies of risk assessments, safe working methods, and training records will be written down and kept either electronically or in hard copy. It is essential that the working documents such as risk assessments are easily available and accessible to all employees.

Reporting - Key Performance Indicators are in place to monitor safety performance corporately. Indicators are proactive (lead) and reactive (lag). They will be used to monitor general compliance with health and safety at team, division, departmental and corporate level and drive improvement activity.

Managers will ensure that active monitoring is carried out in their areas, based on their Health and Safety Plans.

Compliance with these should be discussed as part of individual performance monitoring and be departmentally reviewed by their respective Senior Management Teams at least quarterly.

Independent Review

The competent persons for Property and People will ensure that a corporate audit & inspection plan is in place that includes all departments.

Systems and practices will be independently reviewed against corporate / local policies and procedures.

Health and safety management will be scrutinised further by the City's Corporate Audit function who will report to the Audit & Risk Management Committee as necessary.

External auditors may verify our arrangements and compliance with our policies from time to time.

The Health and Safety Executive as the national enforcement agency and other external accreditation bodies may require auditing whole or parts of our systems.

Employee Health and Wellbeing will be subject to continual monitoring through analysis of the dashboard of metrics with data extrapolated from the annual employee survey. In addition, we will fulfil our commitments to employee wellbeing outlined in the strategy.

5. COMMUNICATING AND UPDATING THE POLICY

A copy of this policy will be available to all employees and made generally available for reference to our partners and others. Access will be available through the staff Intranet.

It will be reviewed and modified from time to time and may be supplemented in appropriate cases by further statements relating to the work of particular departments or groups of workers.

Appendix 1: Health and Safety Responsibilities – Schools

Employer

The Health and Safety at Work etc. Act 1974 places overall responsibility for health and safety with the employer. Who this is varies with the type of school.

- For community schools, community special schools, voluntary controlled schools, maintained nursery schools and pupil referral units the employer is the Local Education Authority (LEA).
- For foundation schools, foundation special schools and voluntary aided schools, the employer is usually the governing body.
- For independent schools, the employer is usually the governing body or proprietor.

This Corporate Health Safety and Wellbeing Policy directly applies to our three Independent Schools (Freemen's, City of London School (Boys), City of London Schools for Girls), along with the Guildhall School of Music and Drama (GSMD).

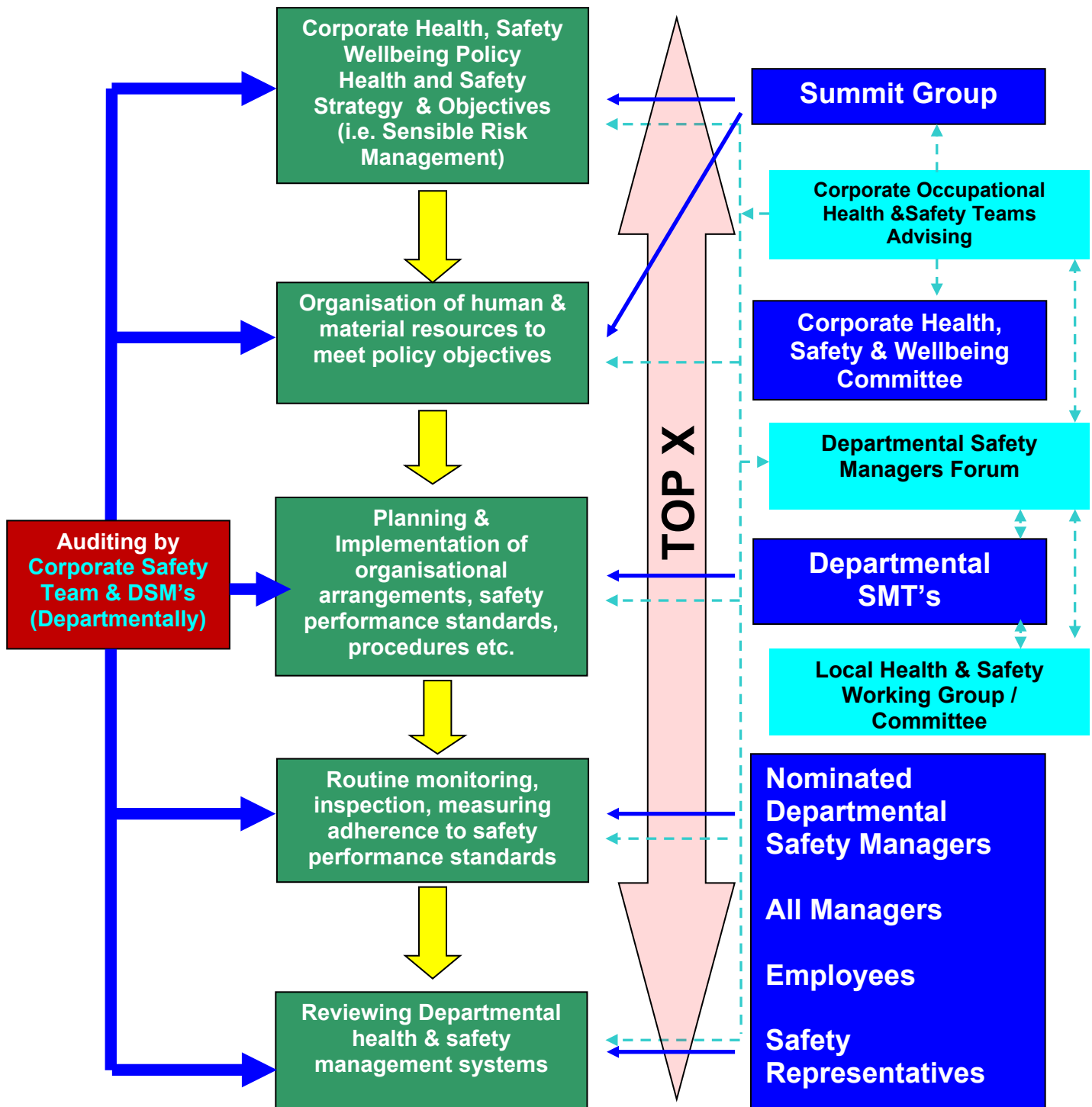
This policy does not apply to City of London Multi-Academies Trust and the other 'family' of sponsored / co-sponsored academy schools. Here the respective academy is the employer, and therefore, has the day-to-day operational responsibility for health and safety management.

The Education Board (representing the City Corporation's interest as a sponsor) and the Multi-Academies Trust has strategic health and safety responsibility for these academy schools. Its responsibilities are likely to include:

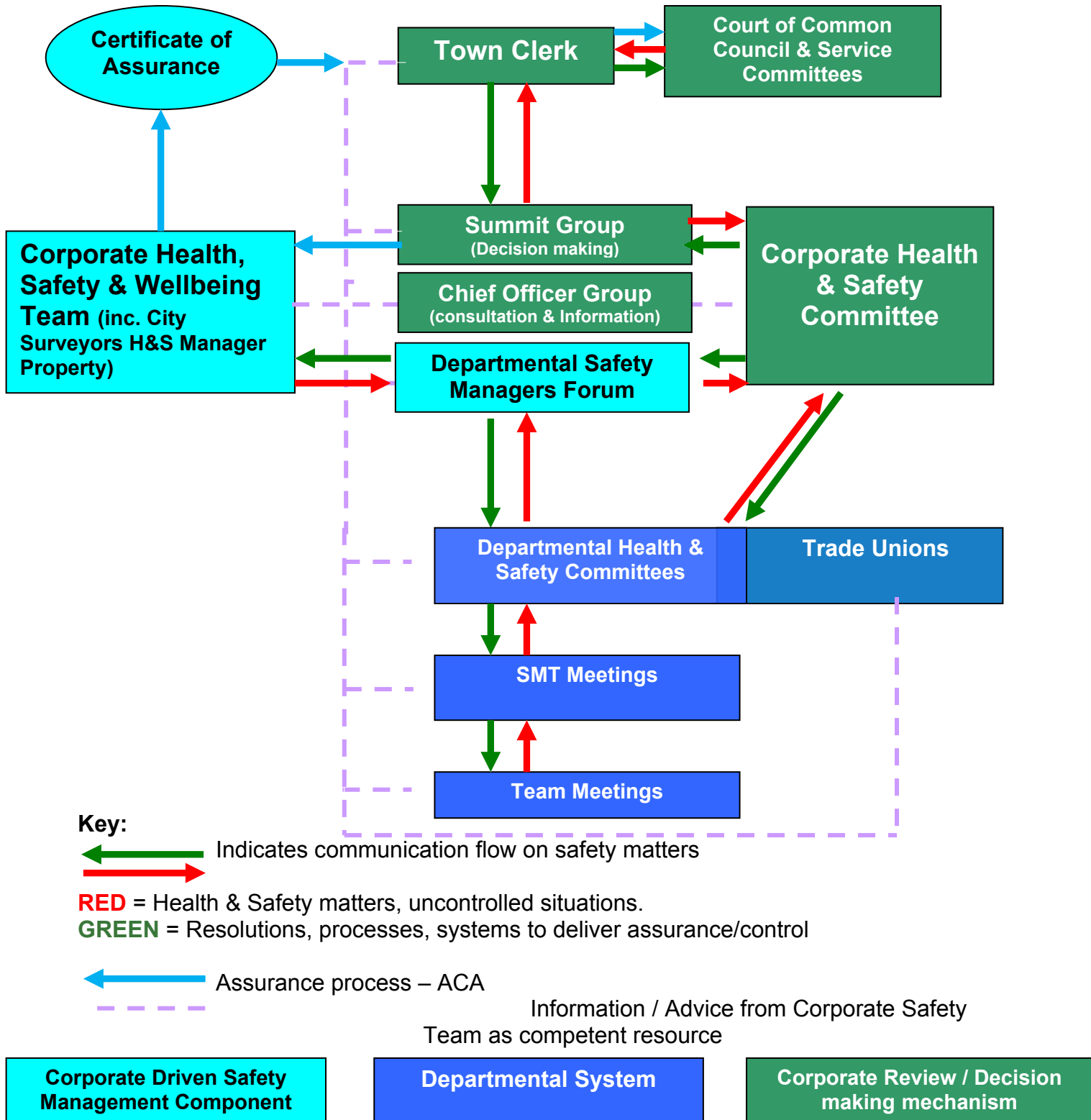
- Ensuring suitably documented policy and governance arrangements are in place in respect of strategic health and safety management / fire safety
- Ensuring the provision of competent health and safety advice (including curriculum and building safety standards)
- Setting suitable health and safety standards / key performance indicators, with robust high-level monitoring arrangements

The Governing Body of the Sir John Cass Foundation Primary is the employer and has ultimate responsibility for health and safety. The Department of Children's and Community Services (DCCS) have 'local authority' oversight.

Appendix 2 – City Corporation Health & Safety Management Arrangements



Appendix 3 – Consultation and Communication flowchart for Health and Safety Management at the City Corporation



Document Control Sheet

Development and Consultation:	This Policy was reviewed from previous versions. Its review was carried out to ensure that the CoL keeps Health & Safety as a business priority within the CoL in order to maintain the high standards of compliance in departments under the leadership of the Town Clerk.
Dissemination	It will be available to view and download from the COLNET intranet site and in the employee handbook. The Policy's existence will be disseminated to all staff across the organisation via staff newsletters, e-mail, etc
Implementation	The Health and Safety Team and Health & Safety Committee is responsible for ensuring that this Policy is implemented.
Training	No formal training is required; however, it will be referenced. Health, Safety and Wellbeing will ensure that staff receive appropriate support in developing departmental policy and procedure documents. Templates will be provided on the Intranet. The Health, Safety & Wellbeing Manager will control corporate Policy development.
Audit	The Health & Safety Sections are responsible for ensuring compliance.
Review	The Health, Safety and Wellbeing Manager will review this Policy biennially or as it becomes necessary.
Essential Standards of Quality and Safety	This policy ensures CoL is in basic compliance of the Health and Safety at Work etc. Act 1974. It will also enable compliance throughout departments and support compliance with other Health and Safety legislation. It is the driver for all Health and Safety Management systems.
Links with other policies	The Policy must be read in conjunction with the departmental Policies as required under this Policy. Local Safety arrangements & procedures must also be considered, these are also required to be developed by this document.
Equality & Diversity	An Equality Impact Assessment will be completed on this policy prior to its consultation.

Revisions

Version	Page/ Para No	Description of change	Date Approved
01-02	Various	Updated to reflect wellbeing and changes to governance.	01.10.2016
01 – 03	Various	Minor revisions, corrections and updates completed. Explicit reference made to the Corporate Plan (2018 – 23) outcomes (p3 Introduction). Added Appendix 1: Schools H&S. E&I inclusion.	TBC

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Committee(s) Establishment Committee – For approval	Date(s): 3 December 2018
Subject: Corporate Lone Working / Preventing Violence Policy – Draft (Version 1.2)	Public
Report of: Chrissie Morgan, Director of HR	For Decision
Report author: Justin Tyas, Health Safety and Wellbeing Manager (People)	

1.0 Summary

- 1.1 This report outlines a new corporate policy for Lone Working and Preventing Violence.
- 1.2 The purpose of the policy is to set a corporate framework with articulated responsibilities and arrangements, to protect staff, so far as is reasonably practicable, from the risks that are associated with lone working, violence and aggression.

2.0 Recommendation(s)

- 2.1 Members of the Establishment Committee are asked to:
- Approve the new corporate Lone Working / Preventing Violence Policy

Main Report

3.0 Background

- 3.1 Under the Health and Safety at Work etc. Act 1974 (HASWA) employers must ensure the health and safety of employees (and others) so far as is reasonably practicable. This includes providing a safe system of work, safe work place and safe access/egress.
- 3.2 The Management of Health and Safety at Work Regulations 1999 (MHSW) places explicit requirements on employers to carry out a risk assessment of the work activities undertaken by lone workers and others including where there is a potential for violence. The regulations require employers to reduce any significant risks identified by means of appropriate control measures. It is much better to take a proactive approach to this rather than wait for things to go wrong, as emphasised in our Corporate Health and Safety and Wellbeing Policy (HSP1).
- 3.2 There is no specific regulation for lone working / preventing violence. However, the broad duties of the HASAWA and MHSW Regulations still apply. They require identifying hazards of the work, assessing the risks

involved, and putting in place measures to eliminate or adequately control the risks.

4.0 Current Position

- 4.1 There is corporate guidance on lone working and various other related guidance notes in place. There are various systems such as risk assessment, training and lone worker devices to enable identification and management locally as appropriate to the risk.
- 4.2 There is a *Policy on Physical and Verbal Abuse of City of London Corporation Employees* (undated) which is approximately ten years old and has never been reviewed. This policy might be better described as 'guidance' because it fails to set out senior management responsibilities and suitable arrangements.
- 4.3 Members of the Safety Managers Forum were consulted on the draft policy prior to undertaking further consultation via the Corporate health Safety and Wellbeing Committee (September 2018). All Chief Officers were then directly consulted on the draft which was then endorsed by Summit Group. Other consultees included the unions.

5.0 Proposals

- 5.1 That a new corporate Lone Working and Preventing Violence Policy, as set out (draft Version 1.2), be approved by the Establishment Committee.
- 5.2 The proposed (new) policy aims to:
- Provide a corporate policy and arrangements for managing lone / remote working and violence at work (whether staff work alone or otherwise);
 - Increase awareness of safety issues relating to lone / remote working;
 - Protect lone workers, who are defined as those who work by themselves without close or direct supervision;
 - Protect front line staff who, as part of their job role, visit service users and clients in their homes and elsewhere both within the City of London and outside of the City;
 - Reduce risks associated with lone working / violence and aggression to a practicable and manageable level;
 - Manage and provide a safe system of works for lone workers and those who may be at potentially at risk of violence and aggression from the public, service users and clients etc.;
 - Provide an emergency system for dealing with incidents where staff feel at risk, vulnerable or become injured or incapacitated;
 - Ensure that appropriate action is taken where possible, against those people who harass, abuse or assault our staff;

6.0 Implications

6.1 Everything we do supports the delivery of the Corporate Plan's three strategic objectives, including contributing to a flourishing society, especially:

- ***People are safe and feel safe*** (Outcome 1);

6.2 The draft Lone Working / Preventing Violence Policy is entirely consistent with this approach, providing a corporate framework (with articulated responsibilities), and arrangements to support the corporate outcomes, and drive performance.

7.0 Corporate & Strategic Implications

7.1 The Health and Safety at Work etc Act 1974 (HASWA) remains the primary legislation which sets out the legal duties on health and safety. The Health and Safety Executive (HSE) are the principal enforcers and have a statutory duty to enforce the requirements of the legislation.

- 7.2 The Corporate Manslaughter and Corporate Homicide Act 2007 identifies senior management as people who play a significant role in making decisions about some or all of the activities managed/organised by the organisation.
- 7.3 It is an offence, if the way in which an organisation's activities are managed/organised, causes a person's death as a result of a gross breach of the organisation's duty of care, by senior management. Under the provisions of the 2007 Act, the offence is committed by the organisation although it is possible for individuals to be prosecuted for gross negligence manslaughter.
- 7.4 Under the Corporate Manslaughter and Corporate Homicide Act 2007 the maximum penalty is an unlimited fine and the court can additionally make a publicity order requiring the organisation to publish details of its conviction and fine.
- 7.5 February 2016 saw the introduction of the Sentencing Council's Definitive Guideline for the Sentencing of Health and Safety Offences, Corporate Manslaughter and Food Safety and Hygiene Offences. *The principal focus of the Guideline is to ensure fines are sufficiently substantial to have a real economic impact which will bring home to both management and shareholders the need to comply with health and safety legislation.* During the first two years this has certainly been the case, with multiple fines exceeding £1,000,000.
- 7.6 There are other various statutory instruments that contain legislative requirements in relation to health and safety. Failure to comply with these requirements can have serious consequences – for both organisations and individuals. Sanctions under the pre-existing legislation (Health and Safety at Work etc Act 1974 and associated statutory instruments, Approved Codes of Practice etc.) include fines, imprisonment and disqualification.
- 7.7 Brent Council was fined £100,000 (plus costs) in 2017 after lone/remote worker policy failure after two of their social workers were assaulted on a home visit (Appendix 1).

8.0 Conclusion

- 8.1 The City of London Corporation takes the health, safety and welfare of all staff extremely seriously. It recognises that violence towards staff is unacceptable and that staff have the right to be able to perform their duties without fear of abuse or violent acts.
- 8.2 The City Corporation recognises that some staff may have the requirement to work by themselves for periods of time without close or direct supervision, in isolated work areas and out of normal working hours. There is no general impediment to staff working alone but they should not be at a greater risk.
- 8.3 A lone working / preventing violence policy, with articulated responsibilities and arrangements, aligned to our corporate outcomes will provide an organisational framework for managing these occupational issues.

8.4 It is essential that staff *are safe and feel safe*, so that they can undertake and perform their duties free from fear and in the full knowledge that there are strong management procedures in place to ensure that effective action can be taken, should they find themselves in a threatening environment and need help.

9.0 Appendices

- Appendix 1 - HSE Press Release, 29 November 2017

10. Background Papers

- HSP 1 - Corporate Health Safety and Wellbeing Policy
- The Health and Safety at Work etc. Act 1974
- The Management of Health and Safety at Work Regulations 1999
- The Sentencing Guideline (Health and Safety) 2016

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Appendix 1 - Appendix 1 - HSE Press Release, 29 November 2017

A local authority has been fined after two of its social workers were assaulted on a home visit by the mother of a vulnerable child they were visiting.

Westminster Magistrates' Court heard how, on 3 July 2015, two social workers employed by London Borough of Brent visited the home of a vulnerable child to carry out a child safety plan assessment. While note-taking, both social workers were struck over the head with a metal object by the mother, resulting in one of them being knocked temporarily unconscious. While both received serious wounds to the head, the social worker knocked unconscious was later diagnosed with Post Traumatic Stress Disorder (PTSD).

The investigation by the Health and Safety Executive found the local authority failed to follow its corporate lone working policy or violence and aggression guidance. No risk assessment was completed and staff were not trained accordingly. London Borough of Brent also failed to add an aggression marker to make the social workers aware of the hazards posed by the mother who was known to have a history of violence.

London Borough of Brent of Brent Civic Centre, Wembley pleaded guilty of breaching the Health & Safety at Work etc. Act 1974, section 2(1) and were fined £100,000 and ordered to pay costs of £10,918.88

After the hearing, HSE inspector Neil Fry commented: *"Violent and aggressive incidents are the third biggest cause of injuries reported to HSE from the health and social care sector.*

"The local authority in this case failed to adhere to and implement its own systems and procedure for the management of lone working and violence and aggression against social workers. This risk could have been reduced in a number of ways including carrying out the visit in a controlled environment, such as the local social workers' office."

Source: <http://press.hse.gov.uk/2017/local-authority-fined-after-social-workers-assaulted/>

HSE Press Release, 29 November 2017



DRAFT 1.2

HSP XXX

Lone Working Policy (incorporating the Preventing Violence Policy)

VERSION number	01-00
DATE	October 2018
REVIEW DATE	October 2021
AUTHOR	Justin Tyas / with assistance from Monique Maccow
Approved by	Establishment Committee

This Policy can only be considered valid when viewed via the CoL Intranet website. If this document is printed in hard copy or saved to another location, you must check that the version number on your copy matches that of the one on-line.

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 8. Responsibilities
 9. Risk Assessment
 10. Training
 11. Monitoring & Review
- Appendix 1: Conflict Management and Reasonable Force**
Appendix 2: Protecting our Staff Poster

POLICY

1. Introduction

The City of London Corporation provides a wide range of services. Some staff are required to work alone from time to time and, for some staff, working alone is common practice. Working alone is not necessarily unsafe but there are circumstances where lone working/working out of hours can increase the risk to personal safety and the potential for harm. The City Corporation recognises and acknowledges that there may be increased risks to staff that work alone.

Risks from violence and abuse can be an occupational concern for lone workers because their work may involve direct contact with a wide range of people in circumstances that could become difficult. The City Corporation is committed to tackling the issues of violence and aggression to all staff (whether they work alone or otherwise), recognising its duty of care and legal responsibilities under the law. It is essential that staff *are safe and feel safe*, so that they can undertake and perform their duties free from fear and in the full knowledge that there are strong management procedures in place to ensure that effective action can be taken, should they find themselves in a threatening environment and need help.

2. Policy statement

The City Corporation takes extremely seriously the health, safety and welfare of all staff. It recognises that violence towards staff is unacceptable and that staff have the right to be able to perform their duties without fear of abuse or violent acts. No member of staff should consider the receipt of violence or abuse to be an acceptable part of their job.

The City Corporation recognises that some staff may have the requirement to work by themselves for periods of time without close or direct supervision, in isolated work areas and out of normal working hours. The purpose of this policy is to protect staff, so far as is reasonably practicable, from the risks that are associated with lone working, violence and aggression.

3. Policy aims

This Policy aims to:

- Increase awareness of safety issues relating to lone / remote working;
- Protect lone workers, who are defined as those who work by themselves without close or direct supervision;
- Protect front line staff who, as part of their job role, visit service users/and clients in their homes and elsewhere both within the City of London and outside of the City;
- Reduce risks associated with lone working / violence and aggression to a practicable and manageable level;
- Manage and provide a safe system of works for lone workers and those who may be at potentially at risk of violence and aggression from the public, service users and clients etc.;
- Provide an emergency system for dealing with incidents where staff feel at risk, vulnerable or become injured or incapacitated;
- Ensure that appropriate action is taken where possible, against those people who harass, abuse or assault our staff;

4. Scope

The City of London Corporation takes extremely seriously the health, safety and welfare of all staff. It recognises that violence towards staff is unacceptable and that staff have the right to be able to perform their duties without fear of abuse or violent acts. No member of staff should consider the receipt of violence or abuse to be an acceptable part of their job.

This Policy also covers the prevention and management of violent and aggressive behaviour, both physical and verbal, towards employees of the City Corporation. Violence and aggression between City Corporation staff members will be dealt with under the disciplinary procedure.

5. Definitions, terminologies and legal responsibilities

5.1 Lone Working:

Within this Policy, '*lone working*' refers to situations where staff in the course of their duties work alone or are physically isolated from colleagues and without access to immediate assistance. This situation may arise where there are other staff in the building but the nature of the building itself may essentially create isolated areas.

This particularly refers to situations when staff members may find themselves working alone with clients, service users and members of public when no other staff members are present.

5.2 Work-related violence:

The Health and Safety Executive (HSE) defines work-related violence as:
'any incident in which a person is abused, threatened or assaulted in circumstances related to their work'

In the context of work at the City Corporation this includes:

- Offensive behaviour
- Harassment
- Threatening behaviour and/or aggression
- Physical assault (including sexual)
- Abusive behaviour
- Damage to City Corporation property and/or personal property

5.3 The law

The City Corporation has a statutory duty under the **Health and Safety at Work etc. Act (1974)** to ensure the health, safety and welfare of all its employees. The Act also places a general duty on the employee to co-operate with his/her employer to enable that duty to be complied with. The City Corporation will support and promote policies and practices which uphold this statutory duty and any statutory requirements made under the Act including the duty to undertake risk assessment (under the **Management of Health and Safety at Work Regulations 1999**).

Employers also have a common law general duty of care towards their staff, which extends to the risk of violence at work.

While the law allows people to exercise **'reasonable force'** to defend themselves, what actually constitutes **'reasonable'** is very much open to interpretation. It will be dependent on the particular circumstances of each situation. It is the intention of this Policy and subsequent arrangements that, the emphasis for the management and resolution of any conflict should be based upon recognition of warning and danger signs, the use of verbal and non-verbal skills, customer care and diffusion or withdrawal where this is possible (**Appendix 1**).

The **Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR)**. Employers must notify their enforcing authority (Health and Safety Executive (HSE)) in the event of a physical assault on an employee resulting in death, specified injury, or incapacity for normal work for seven or more days. The **Human Rights Act 1998** sets out the fundamental rights and freedoms that everyone in the UK is entitled to. It incorporates the rights set out in the European Convention on Human Rights (ECHR) into domestic British law.

The **General Data Protection Regulations 2018 (GDPR)** are regulations on data protection and privacy within the European Union (European Union), and the European Economic Area. The GDPR aims primarily to give control to citizens and residents over their personal data, and to simplify the regulatory environment for international business within the EU.

6. Interactions with other policies and guidance

This Policy supports and is aligned with other City Corporation policies and guidance which offer further guidance in relation to health and safety, including but not limited to:

- Health Safety and Wellbeing Policy
- City Corporation Data Subjects' Rights Policy and associated Corporate GDPR Procedures and Guidance
- Disciplinary procedure
- Grievance procedure
- Sickness Absence Policy
- Security Policy
- [Risk assessment guidance](#)
- [Lone working guidance](#)
- [Personal safety in City Corporation buildings](#)
- [Managing telephone verbal abuse](#)
- [Post-incident response to violence – debriefing and supporting staff](#)
- [Accident / Incident Reporting Procedure](#)

This Lone Working and Preventing Violence Policy should be read in conjunction with other key City Corporation documents including the above.

6.1 Attention is drawn to:

This policy and the General Data Protection Regulations (GDPR) Policy and Guidance.

The Information Commissioner's Office (ICO) has previously published guidance on how to ensure that the use of so-called "*violent warning markers*" comply with the Data Protection Act 1998. Whilst no such guidance has yet been published in relation to GDPR 2018, the same underpinning principles including fairness and lawfulness still apply.

There are potential issues with data protection around holding information about an individual that you may not have disclosed. There is case law related to local authorities being prosecuted for holding information which labelled a person as potentially violent, which they subsequently discovered. There is also case law where a local authority has been prosecuted after a member of staff was assaulted because an issue was known in another department which was not shared.

Personal information should only be disclosed to third parties with the consent of the subject of that information. Wherever possible, consent should be obtained before the information is shared. This must be consistent with the duties of confidentiality, data protection, human rights and any other relevant legislation or code of practice.

Information shared should only be relevant to those who need to be aware of that information. Where a professional judgement indicates that consent cannot be obtained, a decision may be made to inform the client / service user that information will be shared, without consent. The passing of such information must be legally justifiable.

7. Personal Safety Visiting Tool (PSVT)

The PSVT is managed by the corporate Health Safety and Wellbeing team and aims to provide departments' access to a corporate register of issues they and other visiting officers have encountered at various properties. It provides a robust and clear system (with appropriate checks and balances) to enable the protection of front-line staff by appropriately sharing risk information across the City Corporation.

Access to the PSVT is restricted to officers with relevant roles who have been authorised access by their departments and granted on the condition that they comply with the Security Operating Procedure.

The information on the PSVT is for the purpose of risk planning and management when visiting a property. It does not replace a full risk assessment and attention should be paid to the (local) lone working instructions / safe system of work, and the departmental risk assessment procedure when visiting a property.

Importantly, the PSVT does not record the name(s) of individuals associated with a property or residence i.e. personal data is not recorded. The PSVT is a SharePoint enabled register of properties / residences where the Corporation has credible risk information, enabling departments to appropriately share their risk information. The PSVT is not used to record / flag matters of 'hearsay' against a property.

8. Responsibilities

8.1 Town Clerk and Chief Executive

The Town Clerk and Chief Executive has overall responsibility for health and safety at the City of London Corporation and specifically under this policy must ensure:

- promotion and support for the aims of this policy;
- there are robust arrangements for identifying, evaluating and managing risks associated with lone working and for preventing violence;
- there are arrangements for monitoring incidents linked to lone working and violence and aggression, and that the Chief Officers and Summit Groups periodically review the effectiveness of these arrangements.

Day to day responsibility for lone working and preventing violence in line with this policy has been delegated, via the Town Clerk to Chief Officers/Headteachers.

8.2 Chief Officers/Headteachers

Chief Officers/Headteachers have overall strategic responsibility for ensuring that robust health and safety arrangements (including resources) for lone working and preventing violence are in place within their departments, services and operations. Where the provision of service is via a third party or partnership, they must ensure that similarly robust arrangements are in place, and that through appropriate client monitoring these are maintained.

Directors/Assistant Directors, Bursars and other Senior Officers (“Senior Officers”)

8.3 Senior Officers are responsible for:

- the operational management of health and safety in their services/localities including robust arrangements for managing lone working and preventing/controlling the risk of violence;
- promoting and supporting aims and objectives of this policy;
- ensuring that all information about clients/services users referred from other departments or agencies is appropriately shared, where there is a known risk or previous history of violence or aggression;
- ensure that there are suitable nominated persons with the service/teams to access the PSVT where necessary;
- ensuring mechanisms are in place to account for, and trace, the whereabouts of lone workers and that these systems are regularly checked;
- ensuring that robust system(s) of risk assessment and control measures are in place to protect lone workers including from violence and aggression

8.5 Managers / Line managers are responsible for:

- ensuring a safe working environment for staff working in lone /remote situations so far as reasonably practicable;
- identifying teams and individuals who could be involved in work that might put them at risk of violence or threat of violence (including but not exclusively lone working). They must make sure that a suitable and sufficient risk assessments are carried out;
- ensuring that suitable controls are put into place in order to maximise the personal safety of their staff including emergency procedures to be implemented if lone / remote worker cannot be accounted for or contacted and that all systems are regularly tested;
- ensuring that all relevant staff are familiar with the contents of the policy for the management of violent or potentially violent service users, the findings of any specific violence/lone worker risk assessments and any associated local procedures within their respective department;
- ensuring appropriate supervision and monitoring is in place;
- providing employees with training and information in relation to identifying and advising on hazards, working alone and associated good practice;
- managers must offer 1:2:1 support to staff who, despite the control measures in place, have been the victims of physical assault or verbal abuse. Managers must offer the support of the employee assistance programme etc., as well as, where appropriate, supporting staff in reporting to the police
- ensuring that staff with a health condition are not at a significantly greater risk from lone working or frontline work than those without the condition.

8.6 Staff are responsible for:

- taking reasonable care of themselves and other people who may be affected by their actions;
- familiarising themselves with relevant health and safety policies and procedures, and co-operating by following rules and procedures designed for safe working;

- reporting all incidents, difficulties or risks arising from lone working or violence, however minor they may be, to their line manager, even if they do not wish any further action to be taken. **Failure to report an incident may put others at risk;**
- ensuring that all information about service users/clients referred from departments or agencies is appropriately handled. Particularly if there is a known risk or previous history of violence or aggression;
- attending all training designed to meet the requirements of the policy and subsequent guidance;
- reporting any issues or they identify or any concerns they might have in respect of working alone, preventing violence or the safe working arrangements;
- maintaining, as a minimum, an up to date diary of their appointments, that is accessible to others whilst they are out working alone;
- Not attempting to perform work outside the scope of agreed tasks but instead seek advice from their line manager.
- Use and maintain any equipment that has provided in accordance with any training or instruction received
- Inform their managers of any health condition, such as diabetes, that might create a greater risk for a person working alone than it would for someone working with colleagues

8.7 Health Safety and Wellbeing Team are responsible for:

- providing guidance on risk assessment;
- advising on training needs and corporate training standards;
- conducting audits and inspections;
- reviewing accidents / incidents, and assisting departments with investigations where necessary;
- ensuring the Health Safety and Wellbeing (consultative) Committee is kept advised on lone / remote working, and matters relating to preventing violence as necessary

8.8 Occupational Health are responsible for:

- providing advice around fitness to work (for example, where staff have a medical condition), and around reasonable adjustments.
- providing guidance in relation to psychological support for employees including advice in relation to talking therapies as necessary;
- Developing and implementing a post trauma support process for those involved / witnessing potential traumatic events;
- providing advice in relation to return to work following injury or ill-health;
- conducting statutory health surveillance and advising on statutory requirements in relation to risk assessments;

8.9 Comptrollers and City Solicitors are responsible for:

- providing all legal services required by the City Corporation. This includes providing legal advice in relation to potential criminal and civil litigation, as well as data protection and information management.

9. Risk Assessment

Risk Assessment is a process of identifying what hazards exist in the workplace and how likely it is that they will cause harm to staff and others. It is the first step in deciding what prevention or control measures need to be taken to protect staff from harm.

Staff working alone face the same hazards in their daily work as other workers however, for lone workers, the risk of harm is often greater. Hazards facing lone workers include:

- violence and personal safety hazards – may be directly proportional to the proximity of other staff;
- manual handling – lifting and handling tasks may pose more risks to an individual member of staff;
- risk of emotional, physical or sexual harm;
- fire – it may be more difficult for an isolated worker to vacate a building when the fire alarm is activated;
- Shift / night workers

Violent or aggressive behaviour is generally more likely to occur where the work involves contact with members of the public, involves cash transactions or involves providing a front-line service. At the City Corporation this could include social workers, housing officers, security personnel, forest keepers and environmental health officers.

A risk assessment for lone working should therefore examine all the significant risks that may exist, including:

- Violence
- The member of staff falling ill and not being able to summon help
- The member of staff employee having an accident or injury (for example, manual handling) and not being able to summon help
- Fire
- High risk activities, such as working at height or working with harmful substances or in harmful environments.

Part of the risk assessment should also consider what kind of accidents and emergencies are foreseeable and what precautions, such as first aid equipment and training are necessary.

Risk assessment controls should help decide the correct level of supervision/checking.

Appendix 2 provides an example *Protecting our staff "Respect" poster*

Where it is not possible to make the necessary arrangements to ensure that a person can work alone in safety, then the work/activity is not permitted, and alternative arrangements must be implemented.

Managers are responsible for implementing/establishing risk assessments controls; including devising and implementing safe systems of work to ensure that the risks identified via the assessment procedure are eliminated, or at least adequately controlled.

There are certain activities / tasks such as working in confined spaces, work at height and use of specialist equipment such as chainsaws which must never be undertaken by lone workers.

10. Training

Managers must ensure that all “lone worker” training needs are assessed, and that staff receive the appropriate training. The most important factors to be covered in the training are:

- the risks to which the lone worker will potentially be exposed;
- what to do if something goes wrong;
- local lone working arrangements including procedures for checking in with the office/security and reporting accidents and incidents
- where relevant operating lone worker and GPS devices
- instruction on how to carry out a dynamic risk assessment;
- the emergency procedures in place and how they will operate;
- how to obtain first aid.

Where necessary, line managers are to arrange for relevant refresher training to take place at appropriate intervals.

Any training provided that relates to lone working should seek to ensure that staff are able to:

- identify specific areas of risk to their own personal safety;
- put risks into perspective;
- know how to deal with difficult, challenging and aggressive situations;
- demonstrate the necessary communication skills;
- demonstrate awareness of current safe working practices;
- understand and be able to comply with relevant policies and procedure

Training in the prevention and management of violence/aggression can provide staff with appropriate skills to reduce or diffuse potential incidents. The right level will be identified through the risk assessment process. Basic training in the principles of managing challenging behaviour should include:

- causes of violence;
- recognition of warning signs;
- relevant interpersonal skills, i.e. verbal and non-verbal communication skills;
- de-escalation techniques;
- details of local working practices and control measures; and,
- incident reporting procedures.

All staff who have the potential to be involved in an aggressive incident should receive the basic level of training. However, you must ensure the level of training provided to staff reflects the specific needs of the work activities, for example:

- staff working with persons who present a low risk of aggressive behaviour may only require basic training.
- staff working with persons/public that present a serious risk of physical aggression may also need training in physical intervention techniques, as well as basic training.

Confidence and capability are important when dealing with a potentially aggressive or violent incident. Staff will need refresher training from time to time to update their skills. The City Corporation has a specialist training provider for lone working and bespoke conflict management training which is aligned to National Occupational Training Standards.

It is the intention of this Policy and subsequent arrangements that, the emphasis for the management and resolution of any conflict should be based upon recognition of warning and danger signs, the use of verbal and non-verbal skills, customer care and diffusion or withdrawal where possible. As such it is the City Corporation's position that, where physical intervention is necessary, "break-away techniques" (when defending oneself or another) are employed whenever possible, rather than "restraint techniques" (when physically restricting a person's movement). This is a highly specialised area and requires specific training and a confirmation of competency to minimise injury or other harm.

11. Monitoring & Review

The Health Safety and Wellbeing team has lead responsibility for reviewing this policy and reporting to the Corporate Health Safety and Wellbeing and other committees as required.

This Policy will be reviewed on a regular basis.

Revisions

Version	Page/ Para No	Description of change	Date Approved
00 - 01		New Policy	TBC

Appendix 1: Conflict management and reasonable force.

There may be rare occasions where actual physical assault situations are faced by staff. In these circumstances, staff may have to act to defend themselves from an assailant, which may include using what is termed as “reasonable force”.

It is the intention of this Policy and subsequent arrangements that, the emphasis for the management and resolution of any conflict should be based upon recognition of warning and danger signs, the use of verbal and non-verbal skills, customer care and diffusion or withdrawal where possible. As such it is the City Corporation’s position that, where physical intervention is necessary, “break-away techniques” (when defending oneself or another) are employed whenever possible, rather than “restraint techniques” (when physically restricting a person’s movement). This is a highly specialised area and requires specific training and a confirmation of competency to minimise injury or other harm.

While the law allows people to exercise “reasonable force” to defend themselves, what actually constitutes reasonable is very much open to interpretation and is dependent on the particular circumstances of each situation.

[Guidance](#) from the Crown Prosecution Service (CPS) notes that self-defence is governed by civil law and that a person “may use such force as is reasonable in the circumstances for the purposes of self-defence”.

The decision as to whether a member of staff has used reasonable force when defending themselves would rest with prosecutors, based upon any police investigation into the incident.

It is worth noting that the CPS guidance notes that prosecutors must exercise special care when reviewing cases involving those, other than police officers, who may have a duty to preserve order and prevent crime.

It states that “the existence of duties that require people, during the course of their employment, to engage in confrontational situations from time to time needs to be considered, along with the usual principles of reasonable force”.

The CPS guidance also refers to the ability of an individual to retreat rather than to defend themselves. It notes that “failure to retreat when attacked and when it is possible and safe to do so, is not conclusive evidence that a person was not acting in self-defence”.

Those personnel recognised as an established constabulary (e.g. Hampstead Heath and Epping Forest in Open Spaces) have some powers under Statute and byelaws. The use of these powers will be contained within local procedures and guidance.

Staff may have to account for any use of force in the courts. They will need to know the legal authority for their actions and be able to explain why these were necessary, reasonable and proportionate in the circumstances. Staff training should therefore focus on the principle of using the least forceful intervention practicable in achieving the desired objective.



Appendix 2: Protecting our staff poster

Respect

Our staff are here to help you

We will treat our customers and service users with respect and dignity

We ask that our staff are treated with the same consideration

We will not tolerate verbal abuse or violent behaviour towards our staff

If you do have a concern let us know and we will do our best to put it right

Respect poster version 1.2 (November 2018)

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Committee(s)	Dated:
Establishment Committee – For Information	3 December 2018
Subject: Flu Vaccinations	Public
Report of: Chrissie Morgan, Director of HR	For Information
Report author: Colette Hawkins, Corporate HR	

Summary

At the October Establishment Committee Members raised a question asking whether the City of London Corporation should offer a free flu vaccination for all officers and Members to reduce sickness absence levels and maximise officer/Member wellbeing.

The Open Spaces Department are currently trialling a free flu vaccination programme for officers this year and the learning from this will be considered when recommending proposals for 2019.

This report highlights potential costs and other implications which will need to be considered in full before recommendations are brought back to Committee for consideration.

Recommendation

Members are asked to:

- Note the report.

Main Report

Background

1. Members considered a report on sickness absence across the City of London Corporation. It was noted that the top three absences for City Corporation officers were: anxiety/stress/depression/other psychiatric illnesses; cold, cough, flu; and muscular-skeletal problems (excluding back and neck problems).
2. A question was raised regarding whether the City Corporation should offer free flu vaccinations for all officers and Members as soon as practicably possible to reduce sickness absence levels and maximise officer/Member wellbeing.

3. It was noted that the sickness category which includes flu also includes colds and coughs. This means that the actual number of days lost because of flu is unknown. It is common for employees to describe heavy colds as flu.

Current Position

4. The flu vaccine is offered free of charge on the NHS to people who are at higher risk of flu. This is to help protect them against catching flu and developing serious complications. The NHS advises that studies show that the flu vaccine will help prevent getting the flu, but it won't stop all flu viruses. Further the level of protection may vary, so it is not a 100% guarantee to be flu-free but getting flu after vaccination is likely to be milder and shorter-lived than it would otherwise have been. The vaccination is only for the predicted flu/s for the year and therefore does not provide cover for any type of flu.
5. The NHS advises that people should have the flu vaccine if they:
 - are 65 years old or over
 - are pregnant
 - have certain medical conditions
 - are living in a long-stay residential care home or other long-stay care facility
 - receive a carer's allowance, or are the main carer for an elderly or disabled person whose welfare may be at risk they fall ill

Frontline health and social care workers are also eligible to receive the flu vaccine. It is an employer's responsibility to arrange and pay for this vaccine.

6. Those that qualify for a free flu vaccine can arrange for this through their GP. Some pharmacies also provide this service.
7. People who do not qualify for a free vaccine can also choose to pay privately for this vaccine, currently between £10 and £13 at local pharmacies. For example: Boots and Lloyds Pharmacy.
8. Some GPs offer free flu vaccinations to all their patients.
9. This year Open Spaces are trialling a scheme offering all of their staff, who do not already qualify under NHS rules, a free flu vaccination.
10. The Department of Community and Children's Services have offered to reimburse staff working in the adult social care team (who provide front line services to residents in the City of London) who pay for a flu vaccination privately. Currently take up has been low from officers.

Potential Future Options

11. The following options have been reviewed at a high level to provide Members with an early indication of potential costs and implications.
12. All options are proposed on the following pre-conditions:

- a. The decision to have a flu vaccination is a personal choice, so staff and Members can choose to opt in or opt out of having a flu vaccination;
- b. A private flu vaccination is only offered to employees and Members who do not already qualify for a free flu vaccination by the NHS. Anyone who is already entitled to a free flu vaccination should continue to receive these as normal if they chose to have one.

13. There are three potential options to consider in further detail:
- a. Offer a free private flu vaccination to all staff and Members;
 - b. Offer a free private flu vaccination to front-line staff only;
 - c. To continue as current and not offer any private flu vaccinations.

Financial Implications

14. Appendix 1 provides details of two pharmacies that provide a corporate flu vaccination.
15. The headcount of officers and Members is approximately 4,820 and costs have been calculated on different levels of take up. This takes into account a percentage of officers and Members who are already eligible for a free flu vaccination; and officers and Members who choose not to take up this option.

Staff / Members (c4,820)	Boots	Lloyds	
		Vouchers	PAYG
10% (c482)	£3,253.50	£4,434.40	N/A
25% (c1,205)	£8,133.75	£11,086.00	£7,011.00
50% (c2,410)	£16,267.50	£22,172.00	£18,097.00
75% of staff (c3,620)	£24,435.00	£33,304.00	£29,229.00

16. There are potential tax implications to provide private flu vaccinations and the Chamberlain’s department will be consulted with as part of the full feasibility review.

Corporate & Strategic Implications

17. This links with Corporate Plan outcome 2 – people enjoy good health and wellbeing.

Health Implications

18. Occupational Health will be consulted with as part of the full feasibility review to identify any potential health implications.

Conclusion

19. This report provides a high-level overview of the potential options and highlights potential costs and associated implications which will need further review. A further report will be brought back to committee next year for members to consider.

Appendices

- **Appendix 1 – Corporate Flu Vaccination Options**

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Appendix 1 – Corporate Flu Vaccination Options

Boots

The City Corporation purchases e-vouchers online and must provide the name of the employee's as Boots will send out personalised e-vouchers by email or text message. The employee must then make an appointment with a participating Boots pharmacy.

E-vouchers are usually priced at the discounted rate of £8.75 per employee (for 10 or more people). For orders of 250 or more e-vouchers, a reduced rate of £8 applies, decreasing to £6.75 for orders of 1,000 or more. Orders between 500 and 999 will cost £7.75.

Lloyds Pharmacy

Offer a Corporate Flu Vaccination Programme, with three options.

- a. Flu vaccination vouchers: These are non-refundable vouchers that can be purchased in advance. This is a good option if there are large numbers who will be vaccinated. The cost reduces with the more vouchers brought. For example, up to 100 vouchers is £9.50 per voucher; over 500 vouchers is £9.20 per voucher.
- b. Pay as you go (PAYG) flu vaccination vouchers: These are a good option if numbers are uncertain. There is a non-refundable fee of £525 for the first 50 vouchers - for any additional vouchers, the City Corporation will only be charged for the number of vouchers redeemed. Reports will be provided by Lloyds Pharmacy on the number of vouchers redeemed.
- c. Flu vaccination clinic: A qualified Pharmacist will attend one (or more) of our premises with a supporting member of Lloyds Pharmacy staff to administer the vaccinations and offer expert healthcare advice. For this option there is a daily clinic cost (full day - £350, maximum 80 vaccinations; half day - £200, maximum 40 vaccinations) plus the cost of each vaccination (costs as outlined in paragraph 12a).

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Meeting	Date
Establishment Committee	3 December 2018
Subject Developmental Toolkit and Competency Framework Update	For Information
Report of Chrissie Morgan, Director of HR	
Report Author Lisa Parker, Head of Organisational Development	

Summary

This paper updates Members on the pilot phase for the proposed new developmental framework for managing individual performance based on continuous improvement. The pilot exercise has been carried out with teams across the Corporation from the period of July – September 2018 and this report summarises that feedback. The most frequently consistent feedback from the pilot groups is that the link between appraisals and performance pay should be broken.

The newly proposed approach to appraisals provides continuous dialogue and assessment, and removes the rigid appraisal year, April to March. The key objective of the new approach is to shift the emphasis onto development and continuous improvement. This paper reports on the feedback from the pilot groups and next steps.

As mentioned in previous reports, subject to further consultation, contribution pay at the end of 2018/19 will be more flexible but will still use the 4-point assessment as a basis. Again, subject to consultation and agreement contribution pay in 2020 may change more radically.

Recommendations

Members are asked to note: -

The findings and feedback from the pilot phase of the launch of the new appraisal toolkit and the next steps and changes to progress to 'go-live' launch phase in April 2019 across the whole Corporation.

The continuation of the pilot groups using the new competency continuum scales from December - February 2019 in conjunction with the pilot Clear Review online recording tool which launches in November to the pilot groups.

Main Report

Background

Earlier this year a consultation exercise was undertaken on a new framework for managing individual performance. These changes included an introduction of a competency framework and a dialogue known as coaching conversations. The competency framework attempts to translate the 4Ps and 4Rs into measurable behaviours or competencies which can then be used as a measure to appraise or evaluate individual performance using the grid tool. **(The most recent version of these can be seen in Appendix 2).**

The purpose of this report is to outline the feedback gained so far from the Pilot Groups taking part in the exercise and proposed next steps for a successful launch in April 2019.

Current Position to date

To recap, at the start of the process, the Organisational Development team (OD) conducted a series of stakeholder engagement sessions across the Corporation throughout February – April 2018. This involved presenting a short overview on the following:

- Introduction to competency framework and its link to the 4Ps and 4Rs
- Explanation of a 9-box grid to support end of year performance evaluation
- Proposals around coaching style appraisal conversations

Approximately 600 employees from across the Corporation were provided an opportunity to attend a facilitated session and to comment on how they view the current appraisals process and were invited to make suggestions on what could be included in the appraisal review. In depth thematic analysis was conducted as a result of the sessions which were in turn drawn up in to recommendations and next steps, allowing commencement of the pilot appraisal process in July 2018.

Coaching Conversations courses were designed and offered throughout the Organisation, from July 2018 onwards (and continue to be offered) to allow all members of the pilot groups the opportunity to be trained in the new system and how to have coaching conversations with their staff. Meetings were held with the individual teams taking part in the appraisal pilot to ensure a seamless transition into the new process and support offered on an ad-hoc basis as and when required.

The appraisal toolkit and competency framework were amended based on feedback before launch to the pilot groups. A branding exercise has also been completed, based on feedback to modify and improve the look and feel of the system and toolkit ahead of scheduled date as it was felt that the pilot groups needed to work with a 'finished product'.

An extensive amount of work has gone into engaging with Clear Review, our proposed online provider who allow the digitisation of the new appraisal process. IT colleagues

from across the Corporation have been leading on allowing us to roll this out. The go live date with the pilot groups was 1st November 2018.

Key Feedback Themes from Pilot Groups

1. The product

The new appraisal and coaching conversations toolkit was well received by the pilot groups and it was found to be user-friendly and easy to use and navigate. Groups could see how this would be digitised and linked with an online system to allow ease of appraisal completion as opposed to the existing and perceived lengthy form filling exercise. The new toolkit allows for a better quality of conversation because the existing form can at times also detract from a quality discussion due to the emphasis around form completion for the purposes of compliance and 'getting the appraisal done'. The move towards an online system to support the toolkit was welcomed as a more efficient, cost-effective and agile way of working with less 'form filling'.

2. Competencies on a continuum

Members of the pilot groups and Coaching Conversation Course attendees felt that it would be more helpful to see the competencies presented on a continuum of behaviour (example cited in appendix 2 for reference) as opposed to listing out negative and positive behavioural indicators as they can lead to a negative perception of the competency in certain situations. For example, it can be said that for some roles it is of importance to be organised, structured and follow a plan through to completion. The negative of this positive behaviour can be that the individual, at times, may be rigid and inflexible when the need arises to implement changes in plan or direction or project.

3. The timeframes

Consistent feedback from the pilot groups was that there was not enough time to fully test out the new toolkit and process, firstly because the pilot fell across the summer months. The groups engaged well with the new process and found the conversations helpful, insightful and constructive, but would have welcomed extra time with team members in trialling the process out to allow for richer feedback.

4. Digitisation of appraisal system

Groups have been very keen to embark on the digitalisation journey which accompanies the new appraisal process. A key request which came up from the pilot groups was to be able to access the Clear Review online system in conjunction with a further extension in timeframe around trialling the toolkit and coaching conversations. The Learning and Organisational Development Team have been working with the IT Team to ensure this was available from 1st November 2018 once all of the procedures and policies have been completed and adhered too. The L&OD Team have assigned admin managers and have

been trialling the online system and are confident of its success on roll-out as a user-friendly, agile, cost and time effective complement to the new toolkit.

5. Link to pay

Hugely positive feedback was received after using the 9-box Conversation Grid particularly around the introduction of performance descriptors instead of ratings as this allowed for more constructive, developmental conversations with no reference to pay. This allows for flexible performance objectives which can be reviewed through regular touchpoints throughout the year as team, individual and organisational goals move.

It was therefore suggested that this should be a purely developmental tool and should not 'force staff onto a distribution curve of pay'. There is a separate project within HR looking at pay and reward and the future link to pay.

Next steps

Following on from the pilot exercise a number of suggested next steps are proposed to ensure successful transition into a new appraisal system and competency framework for a full launch in 2019-20.

- a) Finalise and launch competency continuum's (example cited at Appendix 2)**
Competency descriptors and continuums will be developed and will detail behavioural indicators for each end of the continuum range to allow for a more constructive, developmental conversation, (getting away from negative behavioural perceptions), allowing greater levels of self-awareness and developmental suggestions.
- b) Extend pilot groups trial period from November – January 2019**
Extend the timeframe to allow a richer level of feedback to be gleaned from the pilot groups using the new competencies on a continuum and in conjunction with the Clear Review online tool before release to the wider Organisation in April 2019.
- c) Devolve link to pay**
The groups have found having a conversation with employees far more productive without having to talk about pay but instead focussing on work priorities and behaviours. A working group has been set up to look at how both contribution pay, and incremental progression be awarded in the future.
- d) Digitalise appraisal paper process**
Formally launch Clear Review online tool for capturing coaching conversations and recording end of year performance evaluations in line with 'go-live' for new developmental system.

Appraisal Process for current year (2018/19)

The existing appraisal paperwork and current four ratings will be used to determine performance, incremental progression and contribution pay. Departments who have been selected to participate in the pilot for the proposed approach will base performance ratings on existing processes but capture developmental performance using the new system. The 9-box grid will be used as a standalone tool and not to make a decision about contribution pay.

Development/Appraisal Process for 2019/2020

The new system including coaching conversations and 9 box grid to be used from the start of the 2019/20 appraisal year underpinned by an online digital tool to allow for smoother completion and a paperless process. This means that at the end of the appraisal year in 2020, each employee will receive a development evaluation based on the new grid. These evaluations will also help departments with their future workforce/succession planning and inform training needs analysis across the Corporation.

Conclusion

From both the consultation and pilot group work there is a need to change and to focus more on supporting employees in a more developmental sense, focussing on the employee/line manager relationship. By implementing the new developmental toolkit using the competencies on a continuum and breaking the link to pay, this will allow teams and departments to build their own fluid and flexible approaches to staff development and make it work on an individual basis using the Organisational template and toolkit. This is a huge and new step forward, but we fundamentally believe this will enhance the employee experience of working at the City of London corporation and allow development and support to be paramount, thus ensuring high levels of performance for teams and the Organisation.

Appendices

Appendix 1 – Key milestones to appraisal launch, reminder of timetable agreed (on track)

Appendix 2 – Revised competency framework, competencies on a continuum and performance grid

Background Papers

Managing Performance 2018 – Strategic Resources Group (12.01.18) and Summit (24.01.18)

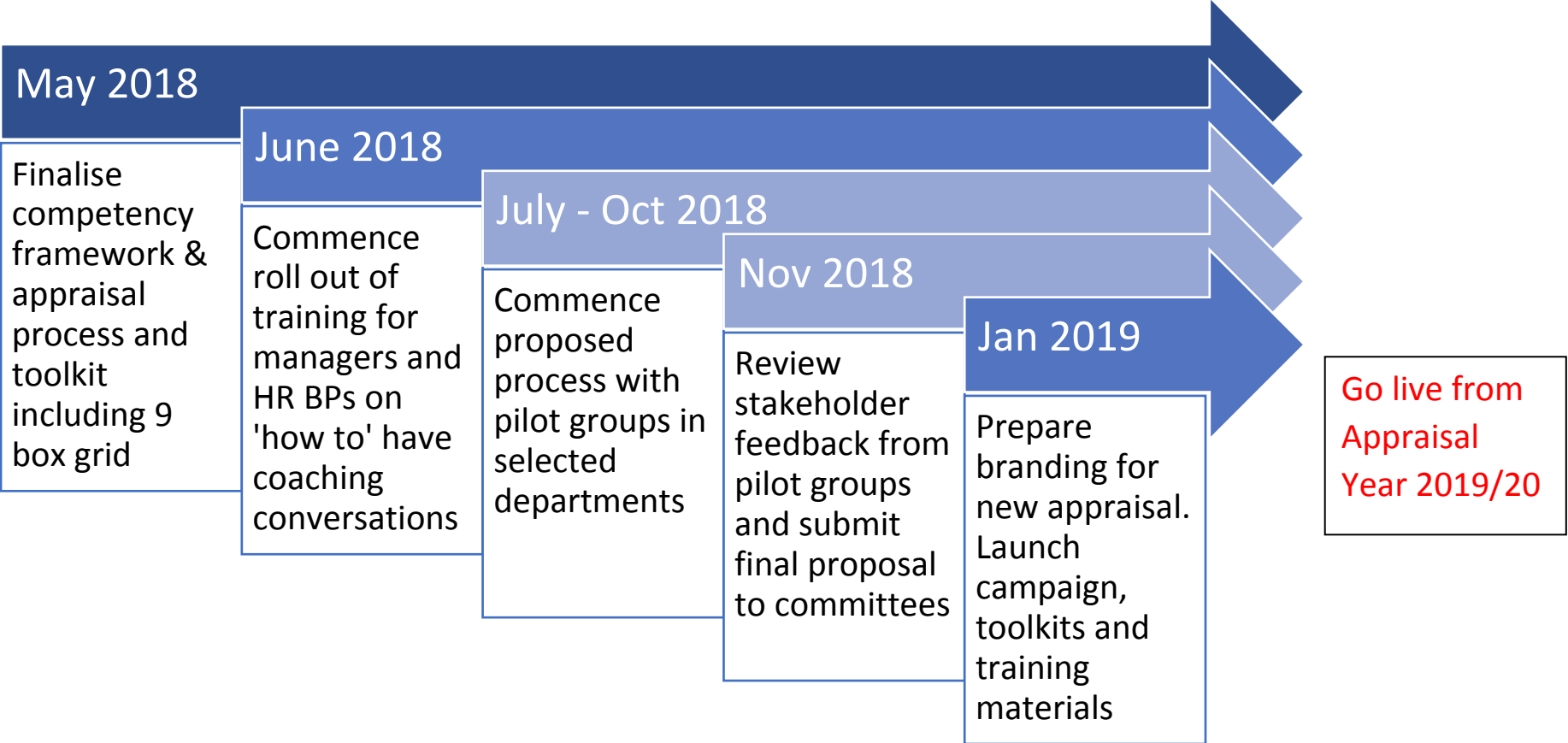
HR Transformation Programme – Establishment Committee (22.05.18)

Developing Toolkit and Competency Framework Update – Strategic Resources Group (08.11.18) and Summit Group (14.11.18).

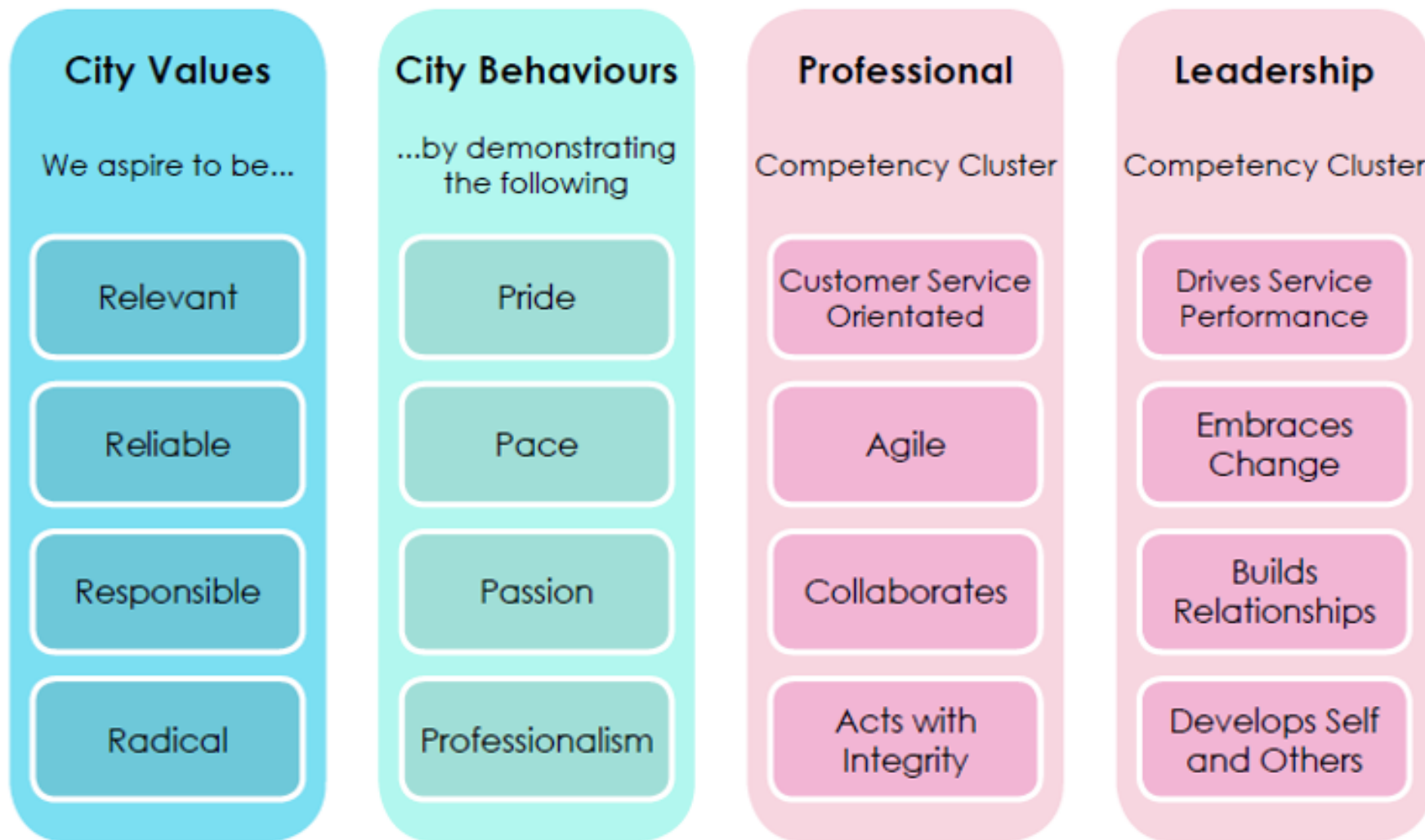
T: 020 7332 1007

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Appendix 1 – Key Milestones to Appraisal Launch

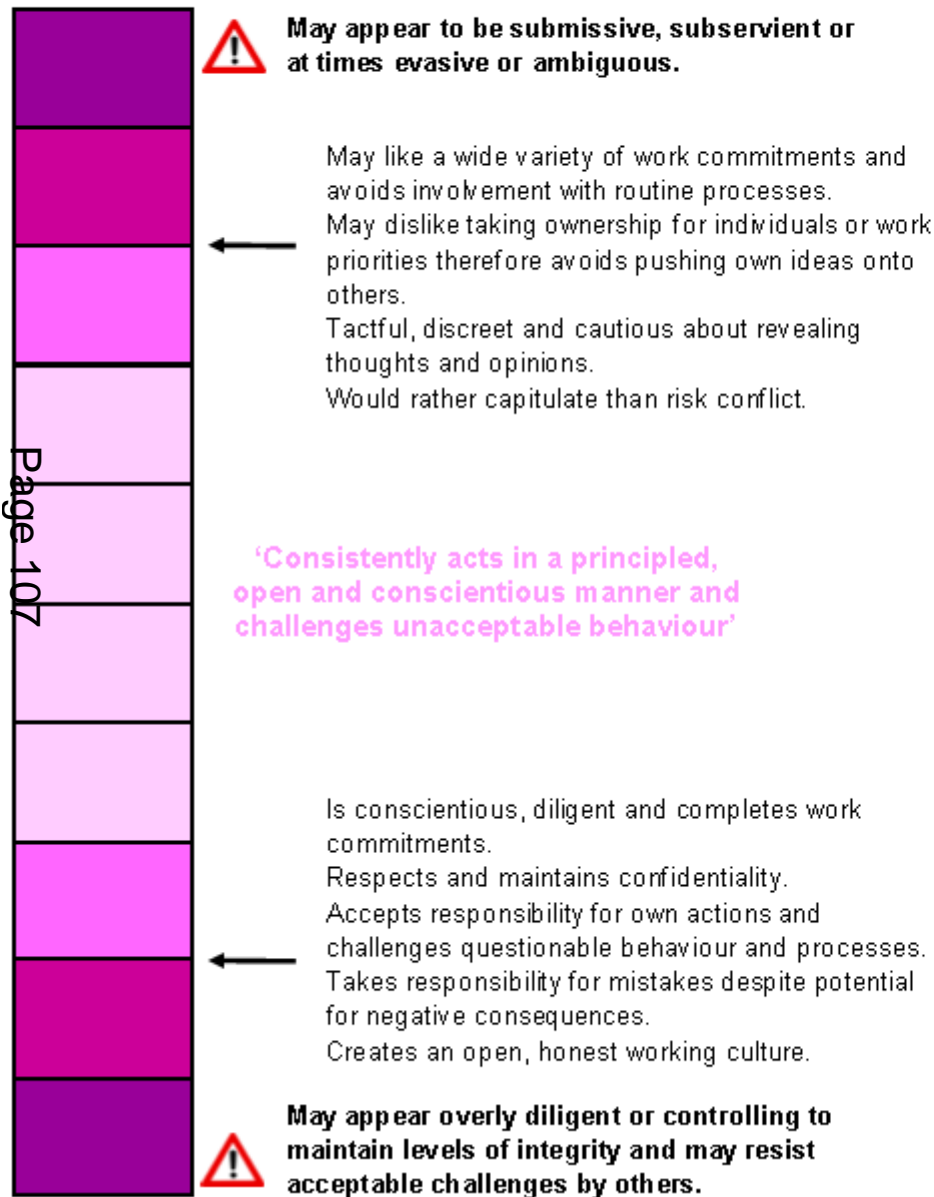


Appendix 2 – Competency Framework, Example of a competency continuum and 9 Box Development tool



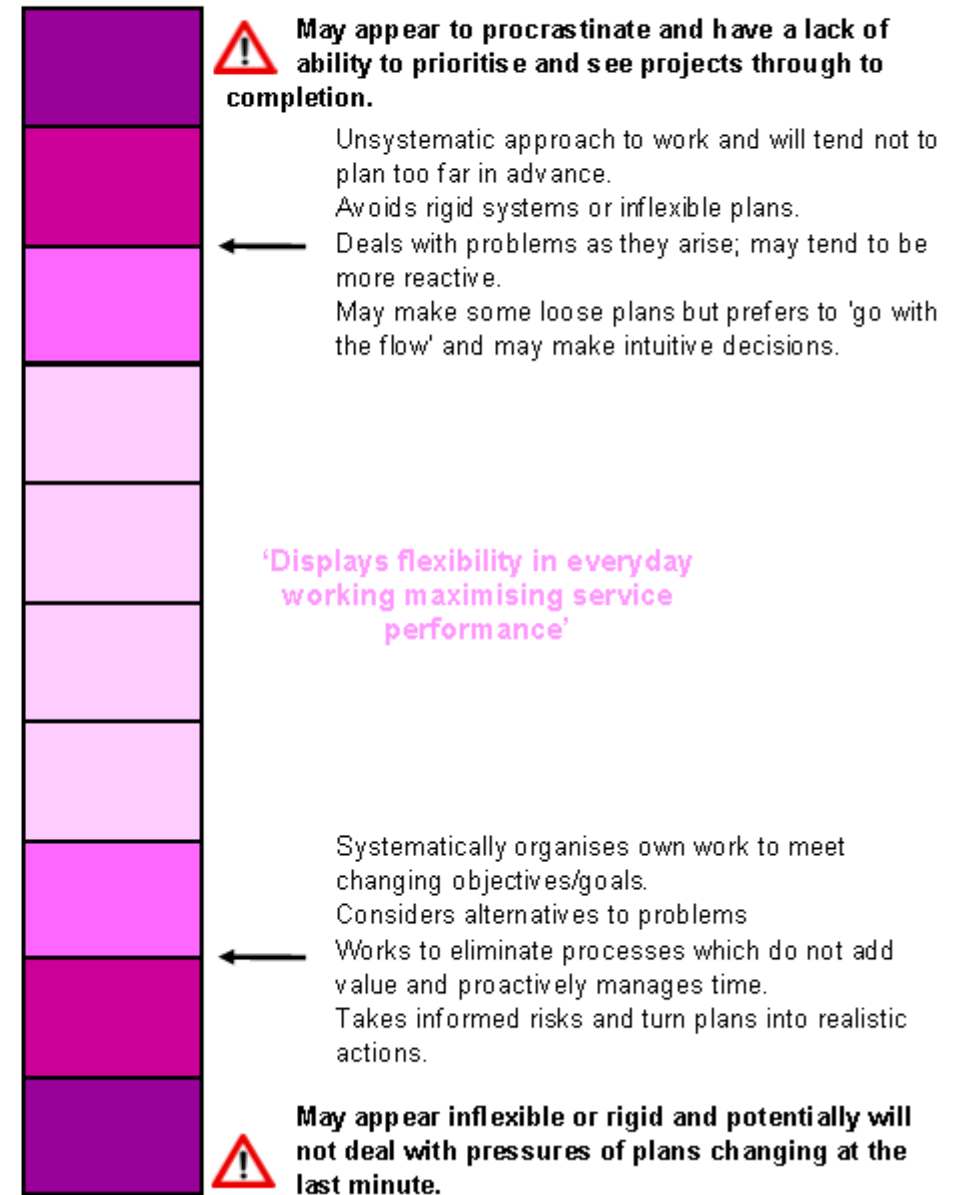
Professional Competency Continuum

Acting with Integrity



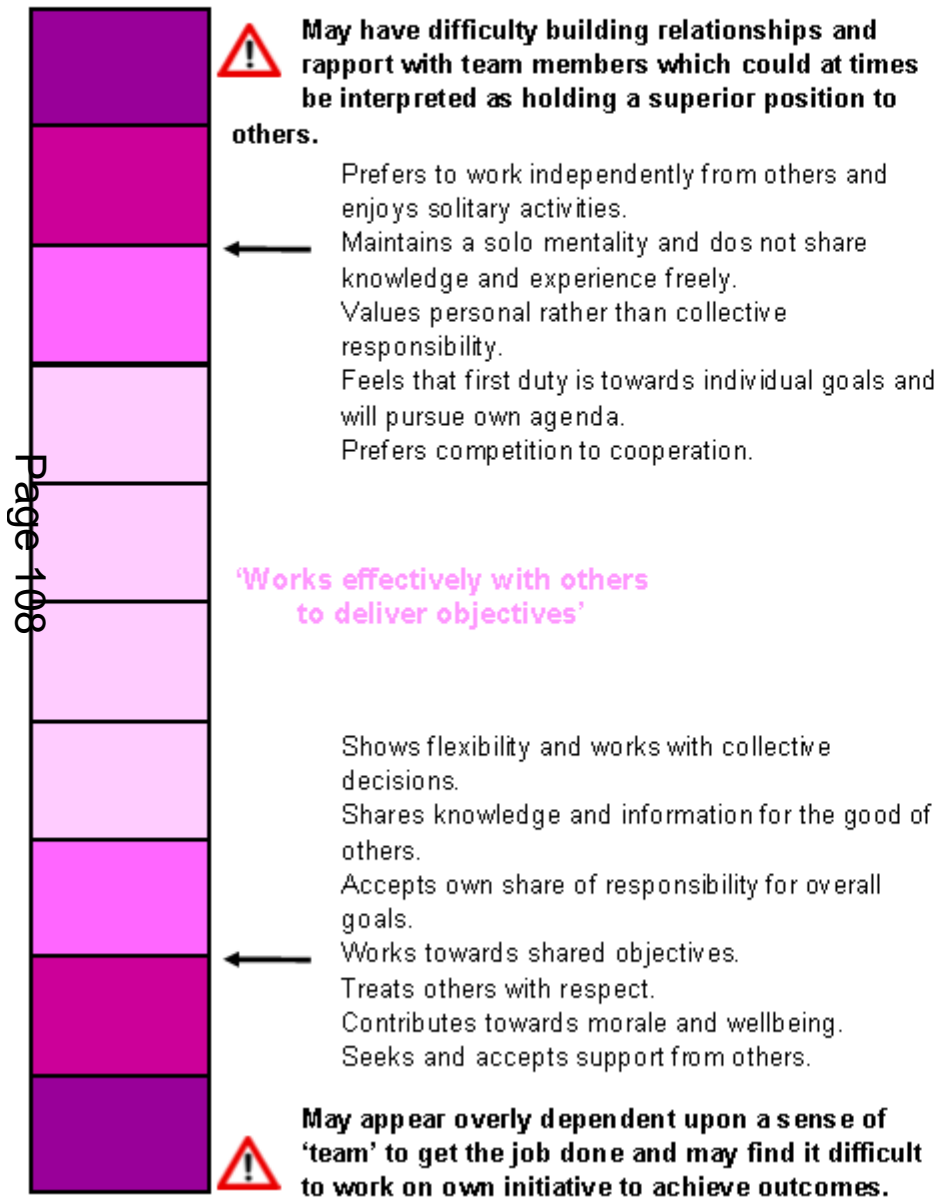
Professional Competency Continuum

Agile



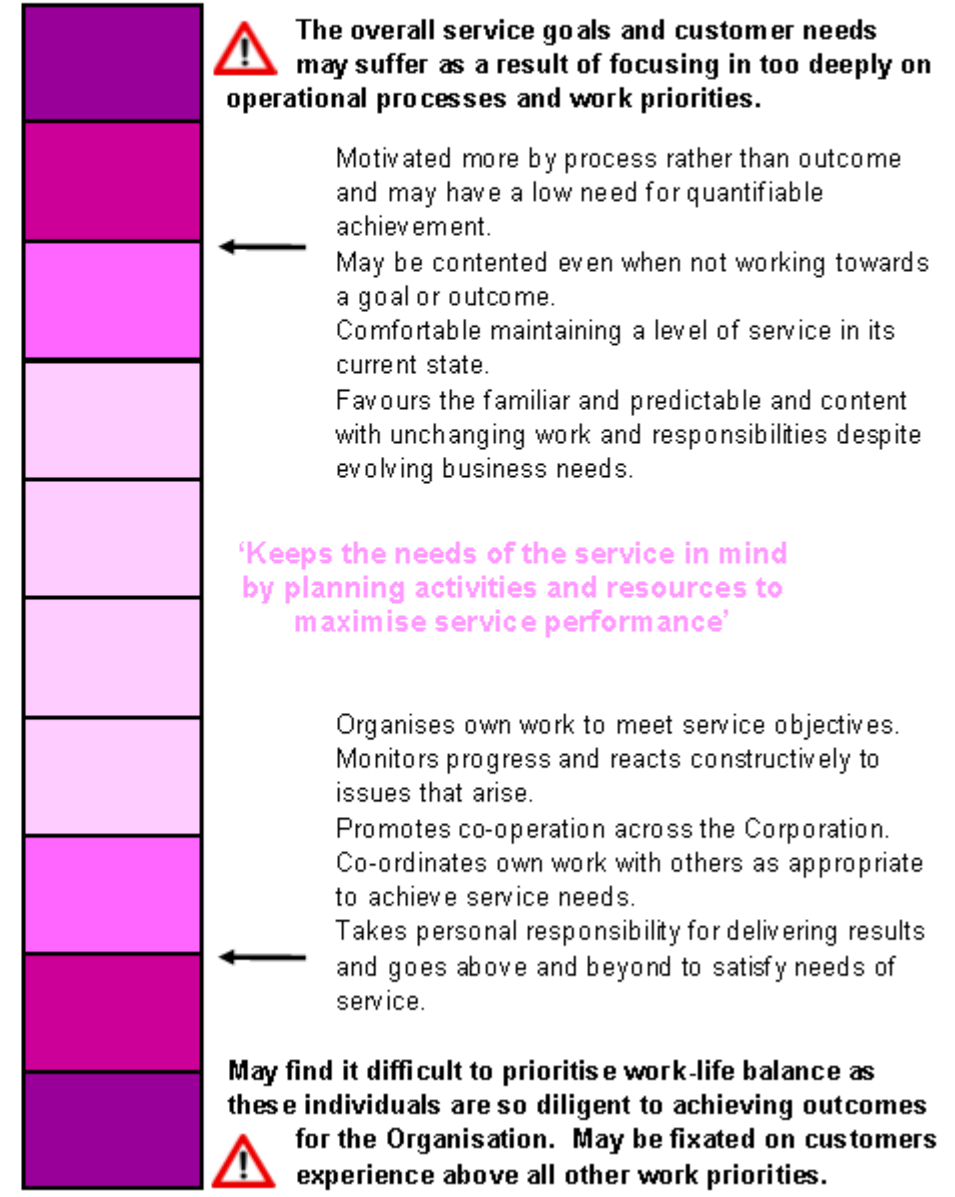
Professional Competency Continuum

Collaborates



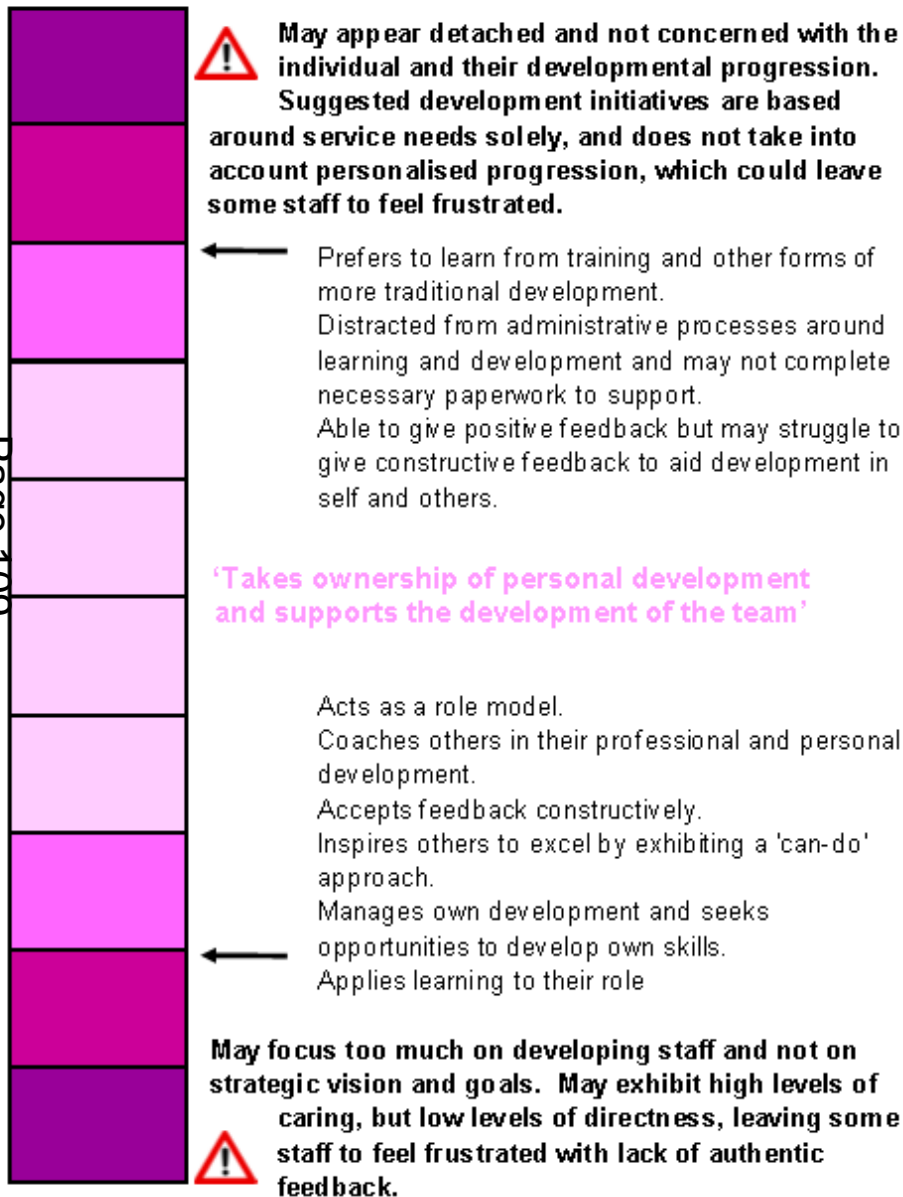
Professional Competency Continuum

Customer Service Orientated



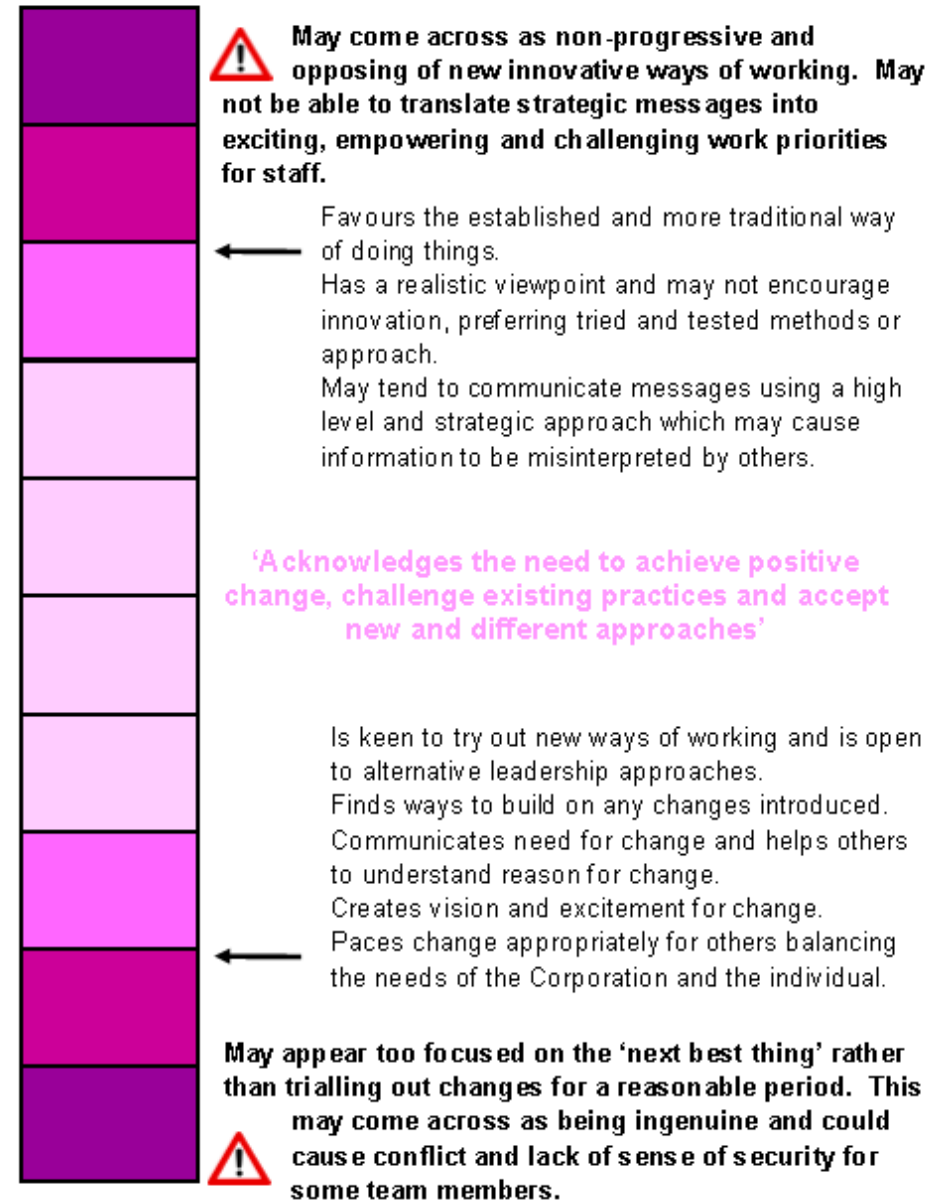
Leadership Competency Continuum

Develops Self and Others



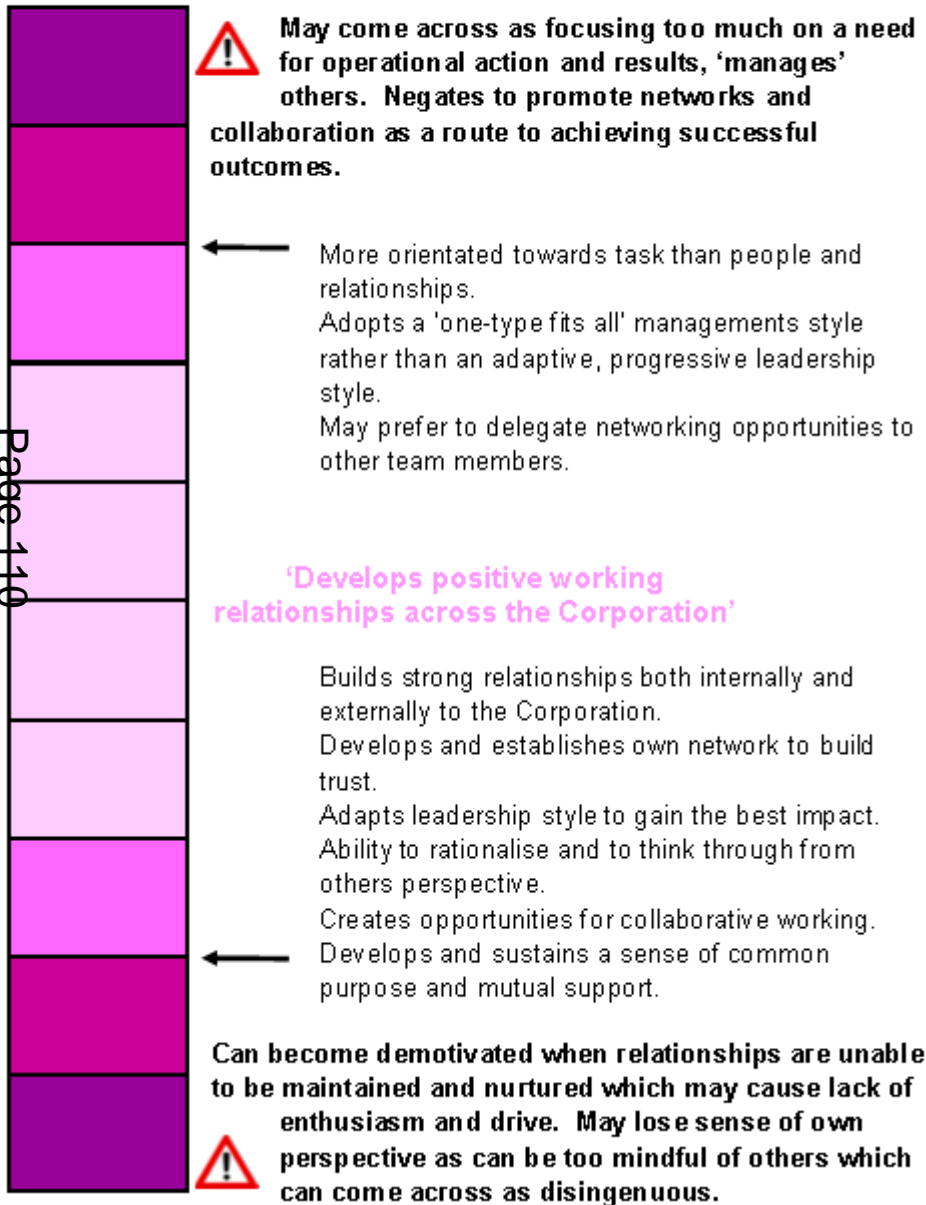
Leadership Competency Continuum

Embraces Change



Leadership Competency Continuum

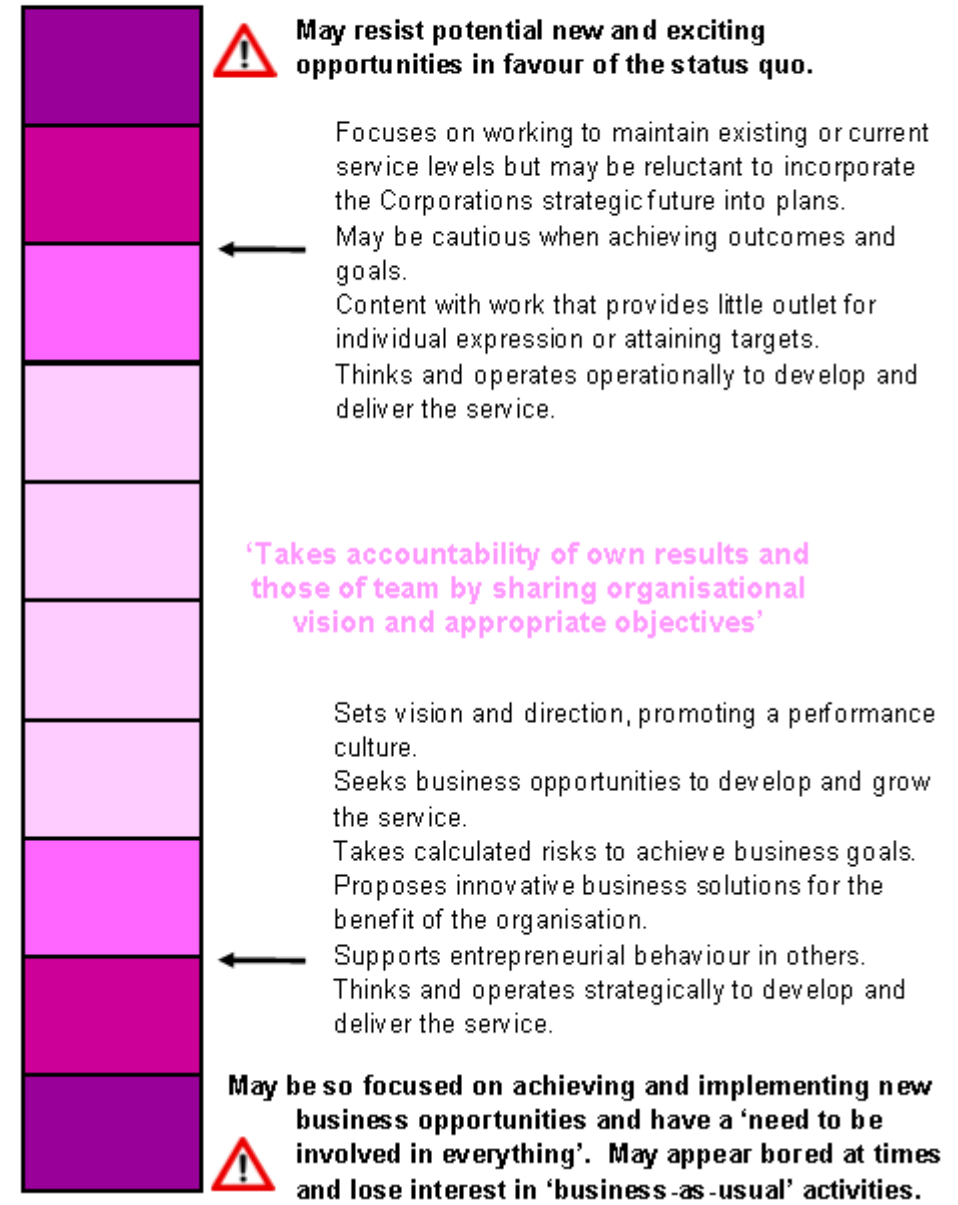
Builds Relationships



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Leadership Competency Continuum

Drives Service Performance



Exceeds competencies

Achieves competencies

Meets some competencies

Values focussed

Excellent understanding and consistent demonstration of how we operate. Needs support to improve service delivery and outcomes.

Ambitious Achiever

This individual shows depth of experience in current role. Takes responsibility for consistently demonstrating high levels of both behaviour and performance.

Exemplary Achiever

This individual has both capacity and the ability for long term development challenges. Consistently exceeds performance goals and acts a role model for organisational behaviour.

Values driven

This individual demonstrates the behavioural competencies expected. Needs further development around performance outcomes, to ensure relevance to organisational outcomes.

Reliable Performer

This individual displays the desired competencies and achieves required outcomes for their role.

Emerging Ambition

This individual will be ready soon for additional stretch projects/challenges to allow further development. Consistently exceeds performance goals and demonstrates required organisational behaviours.

Support

This individual requires high levels of developmental support to achieve competency standards and performance objectives. This individual may also be in a role unsuited to them.

Scope

This individual will be experienced but requires further development around the competencies associated with their role. It is likely that this individual will be a good performer in terms of outcomes.

Task

This individual has an excellent understanding of their role and consistently achieves performance outcomes. However, needs support to improve demonstration of behavioural competencies within existing environment.

Meets some outcomes

Achieves outcomes

Exceeds outcomes

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SENIOR REMUNERATION SUB-COMMITTEE

Thursday, 8 November 2018

Minutes of the meeting of the Senior Remuneration Sub-Committee held at the Guildhall EC2 at 9.30 am

Present

Members:

Deputy Edward Lord (Chair)
Deputy Catherine McGuinness (Deputy Chair)
Deputy Keith Bottomley
Simon Duckworth
Deputy the Revd Stephen Haines
Jeremy Mayhew
Ruby Sayed
Alderman Sir David Wootton

Officers:

John Barradell	- Town Clerk and Chief Executive
Angela Roach	- Town Clerk's Department
Chrissie Morgan	- Director of Human Resources

1. APOLOGIES

An apology for absence was received from Kevin Everett.

2. MEMBERS DECLARATIONS UNDER THE CODE OF CONDUCT IN RESPECT OF THE ITEMS ON THE AGENDA

There were no declarations.

3. MINUTES

The public minutes of the meeting held on 2 July 2018 were approved.

4. SENIOR MANAGEMENT GROUP REMUNERATION

The Sub-Committee considered a joint report of the Town Clerk and Director of Human Resources concerning the salary scales for the Senior Management Group and the assessment of Chief Officers progressing through those scales. The report noted that incremental increases were based on between 1 - 6% depending on performance.

The Town Clerk was heard in support of the report. He advised that factors such as long service and market rates contributed to the complexity of the current system and to it being less transparent. A new, more transparent, system which reflected current market forces was now needed.

It was noted that the salaries of some Chief Officers were a matter of public record and should in future be set out in the public report. To inform debate it might nevertheless be necessary to draw on the role and performance of individual officers. It was therefore agreed that any detailed discussion on the remuneration of senior officers should take place in the non-public part of the meeting.

RESOLVED – that the report be noted.

5. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE SUB-COMMITTEE**

There were no questions.

6. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT**

There were no urgent items.

7. **EXCLUSION OF THE PUBLIC**

MOITION – That under Section 100(A) of the Local Government Act 1972, the public be excluded from the meeting for the following item on the grounds that it involves the likely disclosure of exempt information as defined in Part 1 of the Schedule 12 A of the Local Government Act:-

Item Nos.	Paragraph(s) in Schedule 12A
8 and 9	1 and 4

Part 2 - Non-Public Confidential Agenda

8. **MINUTES**

The non-public confidential minutes of the meeting held on 2 July 2018 were approved.

9. **SENIOR MANAGEMENT GROUP REMUNERATION**

The Sub-Committee considered a joint report of the Town Clerk and Director of Human Resources concerning the salary scales for the Senior Management Group (SMG) and the assessment of Chief Officers progressing through those scales. The report noted that incremental and performance increases were based on between 1 - 6%.

A number of questions were raised and answered. Amongst other items, that included whether the level of performance pay for the SMG was in line with public sector pay increases, the growing number of requests for market forces supplement payments and whether the current structure was fit for purpose.

The Chair suggested that a workshop should be arranged for Members of the Establishment Committee and the Sub-Committee to consider, amongst other things, any data/information on historical trends, the performance pay process,

bench marking and how the proposed scales had been determined. Members of the Sub-Committee supported this.

RESOLVED – that the content of the report be noted and that a workshop on the SMG’s remuneration be held in January to which all Members of the Establishment Committee and this Sub-Committee should be invited to attend.

The meeting closed at 10.20am

Chair

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02073321418

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By virtue of paragraph(s) 1, 2, 3, 4, 5 of Part 1 of Schedule 12A of the Local Government Act 1972.

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By virtue of paragraph(s) 1, 2 of Part 1 of Schedule 12A
of the Local Government Act 1972.

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